# AREA MANAGEMENT EVALUATION OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

AREA	DIVISION	NUMBER
Newhall	Southern Division	540
EVALUATED BY		DATE
Officer B.T. Waughan #17299		07/22/2008

"INSTRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box. If this is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed on the CHP 454, Area Management Evaluation Supplement. The Supplement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Supplement can be handwritten if desired.

TYPE OF EVALUATION			SUSPENSE DATE			
FOLLOW-UP	REQUIRED    No	Correction Report	COMMANDER'S REVIEW		DATE	
1. CLER	ICAL TASKS	BY	EVALUATED YES	ACTION REQUIRED	CORRECTED N/A	
a. Is	the office well organized?				✓ Yes	☐ No
(1)	Are there written job des	scriptions?			☑ Yes	☐ No
11	(a) Does clerical staff h	nave their job description at their de	esk?		√ Yes	☐ No
	(b) Does clerical staff u	understand what is expected of the	m?		☑ Yes	☐ No
(2)	Are similar activities gro	uped together to promote efficienc	y?		√ Yes	☐ No
(3)	If tape recorders are use	ed, can clerical employees transcri	be effectively?		☑ Yes	☐ No
(4)	Is the clerical staff know security, etc.?	ledgeable in the use of personal co	omputers, filing requireme	ents, information	☑ Yes	□ No
(5)	Can another clerical em	ployee assume the duties of a cleri	ical employee who is abs	ent?	☑ Yes	☐ No
b. Ist	b. Is the Office Services Supervisor (OSS) effective?					☐ No
(1)	Does he/she properly ap	pply management philosophies and	supervisory skills?		☑ Yes	☐ No
	(a) Does he/she have t	he authority and backing necessar	y to effectively supervise	subordinates?	☑ Yes	☐ No
	(b) Is the clerical super	visor an effective manager?			☑ Yes	☐ No
(2)	Does the OSS identify e	mployes with supervisory potential	?		☑ Yes	☐ No
	(a) Does he/she assist development?	employees in the preparation of w	ritten plans for progressiv	re career	√ Yes	☐ No
	(b) Have special interest been afforded the el	sts been identified and educational mployees?	l opportunities and/or dep	partmental training	☑ Yes	□ No
		ndividual Development Plan for Fu ed to identify particular strengths o		Permanent	☑ Yes	☐ No
(3)	Does the supervisor set	a good example?			☑ Yes	☐ No
	(a) Does he/she show a	a willingness to assist subordinate	personnel?		☑ Yes	☐ No
	(b) Does he/she know v	when to act, when to delegate, and	when to refer to a super	visor?	☑ Yes	☐ No
(4)	If there is more than one	OSS, is the work and supervision	evenly distributed?		✓ Yes	□No
(5)	Does the OSS participate	e in Area staff meetings?			☑ Yes	☐ No

## AREA MANAGEMENT EVALUATION

#### OFFICE MANAGEMENT

	ILING SYSTEM	YES YES	ACTION REQUIRED NO	CORRECTED N/A	
- a	<ul> <li>a. Is the Area's filing system in compliance with departmental guide</li> <li>File Guide?</li> </ul>	√ Yes	□ No		
t	o. Are other files, i.e., permanent files, enforcement document file	s, etc., maintained	according to policy?	√ Yes	☐ No
	(1) How far back are accident reports being maintained? FO	UR YEARS			
	(2) Is there a filing backlog?			☐ Yes	☑ No
	(3) Is there evidence of recent office review?			☐ Yes	☑ No
	(4) How are Management and All Commanders Memorandum	s filed and purged	? CLERICAL FILES	S THE MEMOR	RANDUMS
	IN THE OSS I OFFICE. SGT'S FILE COMMANDERS N	MEMORANDUM	IN SGT'S OFFICE.		
	(5) Are Training and Information Bulletins filed?			√ Yes  ✓ Yes  ✓ Output  ✓ Desired to the property of the	☐ No
	(a) If so, how are they located? IN OSS I OFFICE	E			
	(6) Do all clerical employees understand the filing system?			☑ Yes	☐ No
	(7) Does the Area have an effective suspense system?			☑ Yes	□No
	(a) Do all supervisors take advantage of the suspense sys	stem?		Yes	☑ No
	. Are personnel files properly secured and access limited?			√ Yes	☐ No
	(1) Are the requirements of the Information Practices Act being	g followed?		☑ Yes	☐ No
	(2) Is a periodic review done on a regular basis?	✓ Yes	☐ No		
	(a) If so, how often? QUARTERLY AND AS NEEDEL				
	(3) Is annual employee review and updating conducted as req	uired?		✓ Yes	☐ No
	(4) Are only required or permitted items contained in personne	el folders?		☑ Yes	☐ No
3, S	SECURITY OF CRIMINAL RECORDS	EVALUATED YES	NO ACTION REQUIRED	CORRECTED N/A	
a	<ul> <li>Have employees who have access to criminal offender record i stating they understand the regulations and policies pertaining</li> </ul>	nformation signed to these records?	an acknowledgment	☑ Yes	☐ No
	(1) Has the Area designated a specific person to release crimi	nal offender recor	d information?	☑ Yes	☐ No
	(a) Do any other persons release this information?			☐ Yes	☑ No
	(b) Has the designated person completed the required tra	aining?		☑ Yes	☐ No
	(c) Are safeguards in place to verify telephone inquiries p	rior to disclosure?		☑ Yes	☐ No
	(2) Does each person that is designated to release information Record Information Release Log?	√ Yes	☐ No		
	(a) Are entries maintained for the prescribed period of time	ne?		☑ Yes	☐ No
Ī	ISCAL PROCEDURES	YES YES	NO NO	CORRECTED N/A	
а	. Have discrepancies on the most current audit reports been cor	rected? N/A Au	DIT NOT COMPLETED	Yes	☐ No

## AREA MÂNAGÉMENT EVALUATION

	e all change fund and collections handled and processed according to policy?  Are counter receipts and DL45s, California Special Driver's Certificate, issued to the field	☑ Yes	□ No
(a			
	accounted for and safeguarded?	☑ Yes	☐ No
(b	Are "voided" or "no fee" DL45s marked as such, signed by the commander, and forwarded to Fiscal Management Section?	☑ Yes	□No
(c)	Is there a separation of duties between cashier responsibilities and transmittal of collections?	☑ Yes	☐ No
(d	Are collections and change funds safeguarded?	√ Yes	☐ No
(e	Are checks promptly endorsed and cash receipts reconciled daily?	☑ Yes	☐ No
(f)	Are counter receipts and DL45s that are issued in sequence accounted for and returned to Fiscal Management Section upon completion?	☑ Yes	☐ No
(g	What specific guidelines are in place for security control and accountability? OFFICE ASSISTAN	IT (OA) OR	WORD
	PROCESSOR (WP) COUNT THE MONEY DAILY AND TRANSMITTALS DONE WEEKLY.		
(h)	Is a supervisor responsible for review of the system?	✓ Yes	□ No
(i)	Do total collections agree with the total amount of counter receipts and DL45s issued?	✓ Yes	□ No
(j)	Are counter receipts and transmittal records prepared properly?	☑ Yes	☐ No
(k)	Are surprise counts of funds performed and documented by the commander or designee?	✓ Yes	☐ No
(2) Ar	e security and accountability procedures in place for the petty cash fund?	☑ Yes	☐ No
(a)	Is the petty cash fund used only for authorized purchases within the limited amount?	☑ Yes	☐ No
(b)	Are valid authorizations on file?	☑ Yes	☐ No
(c)	Is a Disbursement Voucher (Std. 439) completed and signed by the commander when the receipt does not show the vendor name or item purchased?	☑ Yes	☐ No
(d)	Are there adequate procedures to ensure purchases are properly authorized?	✓ Yes	☐ No
(e)	Are surprise counts performed by someone not involved in handling the petty cash fund?	☑ Yes	☐ No
(3) Ar	e X-Number services proper and within departmental and state policy?	☑ Yes	☐ No
(a)	Are services procured over \$4,999.99?	Yes	☑ No
(b)	Is the amount limit circumvented by splitting procurements?	☐ Yes	☑ No
(c)	Are three price quotations obtained and documented on a CHP 78X, X-Number Request?	☑ Yes	□No
(d)	Do invoices itemize charges and reference X-Numbers?	☑ Yes	☐ No
(4) Ar	e bank cards adequately safeguarded, and purchases reviewed by a supervisor?	☑ Yes	☐ No
(a)	Are cardholders familiar with the bank card process, including prohibited and restricted items?	√ Yes	☐ No
	Are purchases within established policy?	☑ Yes	☐ No
. ,		Yes	☑ No
(c)	Are three price quotations obtained and documented on a CHP 315X?	١,٥٥, ت	

#### AREA MANAGEMENT EVALUATION

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0.11	4000		Are invoices and CHP 317, CAL-Card Log, reviewed by	a supervisor?		☑ Yes	☐ No
	(f) Is there a reconciliation of the monthly bank card statement, and does it have supervisory approval?						☐ No
b	. WI	hat co	ontrols does the commander have in place to ensure time	ely transmittals of monie	s? COMI	MANDER SIG	NS AND
	RE	EVIE	WS THE TRANSMITTALS.				
	(1)	Are \$10	collections sent to Fiscal Management Section at the fir ,000 total collections, or at the close of business each Ti	st occurrence of \$1,000 hursday?	in cash and	☑ Yes	□ No
	(2)	Are evid	monies received for DL45s, California Special Driver's Clence, etc., handled appropriately by coordinating transn	Certificate, asset forfeitu nittal with the Area cash	re, reimbursables, ier?	☑ Yes	□ No
	(3)	Are	"no collection" transmittals sent when appropriate?			☑ Yes	☐ No
	(4)	Do	tire sale transactions comply with policy?			☑ Yes	☐ No
C.	. Is s	secur	ity of the postage machine adequate?			√ Yes	☐ No
	(1)	ls ti	ne machine locked when not in use?			✓ Yes	☐ No
	(2)	ls ti	ne meter reading documented as required?			Yes	☐ No
	(3)	ls ti	nere documentation of monies refunded or forwarded to tage machine is being repaired or replaced?	Fiscal Management Sec	ction when the	Yes	□ No
FS	UPPI	LY R	EQUISITIONS (CHP 41)	YES	ACTION REQUIRED NO	CORRECTED N/A	
a	. Are	e requ	uisitions prepared properly?			☑ Yes	☐ No
	(1)	Wh	o prepares them? O/A				
	(2)	Has	a practical stock level been established and maintained	1?		√ Yes	☐ No
	(3)	ls th	nere a system that notifies the staff when the quarterly re	equisition is going to be	prepared?	√ Yes	☐ No
		(a)	Is the quarterly requisition period for this command adh	ered to?		☑ Yes	☐ No
		(b)	Is there a high number of emergency requisitions?			Yes	☑ No
b.	Are	e item	s stored properly in a storeroom?			☑ Yes	☐ No
	(1)	ls th	nere convenient access for regularly used items?			☑ Yes	☐ No
	(2)	Hav	e obsolete items been removed?			☑ Yes	☐ No
6. S	UPPL	LIES		EVALUATED YES	NO REQUIRED	CORRECTED N/A	
 а.	Are	all c	ameras assigned to the command accounted for?			√ Yes	☐ No
	(1)	Are	camera cases clean and do they contain the required a	ccessories?		√ Yes	☐ No
	(2)	ls c	amera maintenance assigned to a particular individual?			☑ Yes	☐ No
		(a)	What is his/her preventative maintenance schedule?	AS NEEDED BASE	S.		
-							
b.	Are	all e	xtenders assigned to the command accounted for?			√ Yes	☐ No

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(1) Is there adequate security for extender batteries and other supplies?						☑ Yes	☐ No
<b>7</b> .	OFFIC	CE EQUIPMENT		YES YES	ACTION REQUIRED NO	CORRECTED N/A	
	a. Ar	re office machines in good condition and pro	perly maintained?			☑ Yes	☐ No
	(1)	) Is the vendor complying with maintenance	e contract provisio	ns?		☑ Yes	☐ No
	(2)	) Is there a shortage or surplus of machine	s?			☐ Yes	☑ No
	b. Is	the Management Information System (MIS)	used properly?			√ Yes	☐ No
_	(1)	) Who is authorized to use the equipment?	ALL CLERIC	AL.			
	(2)	) How is training provided, and by whom?	TRAINING P	ROVIDED TO	NEW EMPLOYEES AND	BY OSS I.	
	(3)	) Is there a usage schedule for uniformed a	and nonuniformed	personnel?		Yes	☑ No
	(4)	) Are there controls in place to ensure conf	fidentiality?			√ Yes	☐ No
	(5)	Are all personnel aware of how to reques	t repairs after norn	nal business hou	ırs?	√ Yes	☐ No
	(6)	) Is the MIS used to send messages to oth	er offices in lieu of	formal memoral	ndums?	✓ Yes	☐ No
	(7)	) What system is used to ensure proper ro	uting of MIS inform	nation? PROPE	R TRAINING		
<del>-</del>	. Are	e personal computers used properly?				☐ Yes	☐ No
_	(1)	Who is authorized to use the equipment?			•		
	(2)	How is training provided, and by whom?					
		(a) How many employees are trained in	its use?				
	(3)	Are there restrictions on the time its used	?			Yes	□ No
		(a) Is there a schedule for uniformed and	d nonuniformed en	nployees?		Yes	☐ No
	(4)	Is confidential or sensitive information be	ing stored on a PC	hard drive?		Yes	☐ No
		(a) If so, is the PC password protected?				Yes	□ No
		(b) Is confidential or sensitive informatio secure area?	n stored on disks,	CDs, or remova	ble drives kept in a	☐ Yes	☐ No
	(5)	What is the PC being used for?					
	)						
	(6)	Are controls present to prevent inappropr	iate/personal use	of the computer?	?	☐ Yes	□ No

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ÿ	(7) Are backup procedures being performed on a regul	lar basis?		☑ Yes	□No	
	(a) Where applicable, are backup disks stored in a	a secure area?		☑ Yes	□ No	
	(8) Are PC manuals and other documentation available to all users?					
	(9) What procedures are in place to ensure out-of-date	documents and files are	purged? ANNUALLY	REVIEW AND	OLD	
	DOCUMENTS PURGED ANNUALLY.					
	(10) Are employees aware of the avallability of assistance	ce in resolving computer r	related problems?	☑ Yes	☐ No	
	(11) Is anti-virus software regularly utilized on all state-o	wned PCs?		☑ Yes	☐ No	
8. F	UBLIC CONTACTS	YES YES	NO REQUIRED	CORRECTED N/A		
а	. Does the office have extended office hours?			☑ Yes	☐ No	
	(1) If so, are they adequate and effective?			☑ Yes	□No	
b	Are persons served promptly and courteously?			☑ Yes	☐ No	
	(1) Are backup personnel immediately available?			☑ Yes	□No	
	(2) Is telephone service both efficient and effective?			✓ Yes	□No	
	(3) Are limited duty personnel used for receptionist duti	ies and answering telepho	ones?	√ Yes	☐ No	
	(4) Are officer substitutions for nonuniformed positions	kept at a minimum?		√ Yes	☐ No	
9, S	CHOOL BUS DRIVER EXAMINATIONS	EVALUATED YES	ACTION REQUIRED NO	CORRECTED N/A		
а	Is school bus driver testing a special duty or a clerical fu assigned? SCHOOL BUS OFFICER.		hool bus coordinator			
				✓ Yes	□ No	
	(1) Are tests and test keys kept in a secure place?	duran DV SCHOOL	DIS COMBANTES	<u>V</u> 163		
_	(2) How are interested parties advised of testing proceed	dures? BY SCHOOL	L BUS COMPANIES.			
	(a) Are exams graded in the presence of the applic	cant and missed question	ne discussed?	✓ Yes	No	
				✓ Yes	No	
	(b) Does the officer or coordinator take possession of the test and dispose of accordingly?					
	(3) How are test disposed of? SHREDDED.					
	(3) How are test disposed of? SHREDDED.			☐ Yes	<b>☑</b> No	
1	(3) How are test disposed of? SHREDDED.		ACTION REQUIRED NO	☐ Yes  CORRECTED  N/A	<b>☑</b> No	

## AREA MANAGEMENT EVALUATION

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	(1)	Wh	nat controls are in place to ensure officers appear in cour	t? SUBPOENA LO	OG, AND SUBPOENA	S ARE SENT	OT 1
3		SG	T'S.				
-							
		(a)	How are appearances minimized following cancellation	s? SUBPOENA C	LERK WILL NOTIFY	OFFICER A	ND SGT.
						*	
		(b)	How are "short notice" cancellations minimized?	SAME AS ABOVE PLU	IS TELEPHONE CALI	LS TO OFFIC	CERS.
	(2)		CHP 90s, Report of Court Appearance - Civil Action, propriate cases?	operly distributed and co	mpleted on all	☑ Yes	□No
	(3)	Wh	o is responsible for managing the process? OFFI	CE ASSISTANT (OA).			
		(a)	Are court officers performing duties that could be hand	led by clerical personnel	?	☐ Yes	☑ No
11.	DEPA	RTN	IENTAL MANUALS	YES	NO REQUIRED	CORRECTED N/A	
а.	. Are	the	number of authorized libraries being maintained?			☑ Yes	☐ No
	(1)	Are	the libraries convenient for those who must use them?		Larrane	☑ Yes	☐ No
		(a)	What controls are in place for "loaning" manuals to em	ployees? SIGN	OUT CARDS ARE US	ED.	
						4)	
	(2)	Are	publications distinctively marked so they can be readily	identified?		☑ Yes	☐ No
		(a)	Are the number of libraries excessive or sufficient? S	UFFICIENT.			
		(b)	Is there a listing available of what should be in each lib	rary?		√ Yes	☐ No
	(3)	Are	publications kept up-to-date?	<u> </u>		☑ Yes	☐ No
	(4)	Who	o files publication changes? O/A.				

### AREA MANAGEMENT EVALUATION OFFICE MANAGEMENT

AREA	DIVISION	NUMBER	
LACC	Southern Division	514	
EVALUATED BY		DATE	
Officer B.T. Waughan		07/17/2008	

CHP 453E (Rev. 5-06) OPI 009 \*\*\*TRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box. If this is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed on the CHP 454, Area Management Evaluation Supplement. The Supplement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Supplement can be handwritten if desired. SUSPENSE DATE TYPE OF EVALUATION Informal Evaluation ✓ Formal Evaluation DATE COMMANDER'S REVIEW

FOLLOW-OP REQUIRED		QUIRED	Correction Report				
	Yes	☑ No	BY				
1. C	LERIC	AL TASKS		YES	ACTION REQUIRED NO	CORRECTED N/A	
a	. Is the	e office well organized?				√ Yes	☐ No
	(1) Are there written job descriptions?						☐ No
			have their job description at their de	sk?		√ Yes	☐ No
_			understand what is expected of ther			√ Yes	☐ No
-			ouped together to promote efficiency			√ Yes	☐ No
			ed, can clerical employees transcrib			√ Yes	☐ No
	(4)		ledgeable in the use of personal co		rements, information	☑ Yes	□No
	(5)	Can another clerical em	ployee assume the duties of a cleri	cal employee who is	absent?	✓ Yes	□ No
b	, Is the	Office Services Super	visor (OSS) effective?			√ Yes	☐ No
	(1) Does he/she properly apply management philosophies and supervisory skills?					✓ Yes	☐ No
		(a) Does he/she have	the authority and backing necessar	y to effectively super	vise subordinates?	☑ Yes	☐ No
-		(b) Is the clerical supe	rvisor an effective manager?			√ Yes	☐ No
	(2)	Does the OSS identify e	employes with supervisory potential	?		☑ Yes	☐ No
	1 2 22	(a) Does he/she assist development?	t employees in the preparation of w	itten plans for progre	essive career	☑ Yes	☐ No
		(b) Have special intere	ests been identified and educational employees?	opportunities and/or	departmental training	☑ Yes	☐ No
-		(c) Has the CHP 120, Employee, been us	Individual Development Plan for Fulsed to identify particular strengths of	ture Job Performanc f the employees?	e of Permanent	☑ Yes	☐ No
	(3)	Does the supervisor set	t a good example?			☑ Yes	☐ No
		(a) Does he/she show	a willingness to assist subordinate	personnel?		☑ Yes	☐ No
		(b) Does he/she know	when to act, when to delegate, and	when to refer to a s	upervisor?	✓ Yes	☐ No
***	(4)	If there is more than on-	e OSS, is the work and supervision	evenly distributed?	N/A	☐ Yes	☐ No
,	(5)	Does the OSS participa	te in Area staff meetings?			☑ Yes	☐ No

#### AREA MANAGEMENT EVALUATION

### OFFICE MANAGEMENT

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,		G SYSTEM	EVALUATED YES	ACTION REQUIRED NO	CORRECTED N/A		
a		the Area's filing system in compliance with departmental guide	elines contained in HP	G 11.1, Field Office	√ Yes	□ No	
t	o. Ar	re other files, i.e., permanent files, enforcement document files	, etc., maintained acce	ording to policy?	√ Yes	☐ No	
-	(1)	) How far back are accident reports being maintained? N/A					
	(2)	) Is there a filing backlog?			☐ Yes	☑ No	
	(3)	) Is there evidence of recent office review?			√ Yes	☐ No	
-	(4)	) How are Management and All Commanders Memorandums	filed and purged?	MM'S ARE ACCE	SSIBLE VIA T	НЕ СНР	
		INTRANET AND ARE FILED IN THE AREAS COMMA	ND LIBRARY.				
	(5)	Are Training and Information Bulletins filed?		NO.		☐ No	
_		(a) If so, how are they located? THE NECESSARY	Y INFORMATION IS	FILED WITH BRIEF	ING ITEMS W	HEN	
	(6)	Do all clerical employees understand the filing system?			√ Yes	☐ No	
	(7)	Does the Area have an effective suspense system?	☑ Yes	☐ No			
		(a) Do all supervisors take advantage of the suspense syst		☐ Yes	☑ No		
J.	. Ar	e personnel files properly secured and access limited?			√ Yes	☐ No	
	(1)	Are the requirements of the Information Practices Act being	followed?		☑ Yes	☐ No	
	(2)	Is a periodic review done on a regular basis?			√ Yes	☐ No	
		(a) If so, how often? ANNUAL REVIEW					
	(3)	Is annual employee review and updating conducted as requi	red?		☑ Yes	☐ No	
	(4)	Are only required or permitted items contained in personnel	folders?		☑ Yes	☐ No	
3. S	ECU	RITY OF CRIMINAL RECORDS	YES	ACTION REQUIRED NO	CORRECTED N/A		
а		ive employees who have access to criminal offender record inf iting they understand the regulations and policies pertaining to		cknowledgment	☑ Yes	□ No	
	(1)	Has the Area designated a specific person to release crimina	al offender record info	rmation?	☑ Yes	☐ No	
		(a) Do any other persons release this information?			√ Yes	☐ No	
		(b) Has the designated person completed the required train	ning?		☑ Yes	☐ No	
		(c) Are safeguards in place to verify telephone inquiries prior		☑ Yes	☐ No		
	(2)	Does each person that is designated to release information Record Information Release Log?	, Criminal Offender	☑ Yes	□No		
		(a) Are entries maintained for the prescribed period of time	?		☑ Yes	☐ No	
	ISCA	L PROCEDURES	EVALUATED YES	ACTION REQUIRED NO	CORRECTED N/A		
a.	На	ve discrepancies on the most current audit reports been corre	cted?		☑ Yes	☐ No	

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#### AREA MANAGEMENT EVALUATION

#### OFFICE MANAGEMENT

	(1)	Are all change fund and collections handled and processed according to policy?	☑ Yes	☐ No
		(a) Are counter receipts and DL45s, California Special Driver's Certificate, issued to the field accounted for and safeguarded?	☐ Yes	☐ No
		(b) Are "voided" or "no fee" DL45s marked as such, signed by the commander, and forwarded to Fiscal Management Section?	☐ Yes	☐ No
		(c) Is there a separation of duties between cashier responsibilities and transmittal of collections?	☐ Yes	☐ No
		(d) Are collections and change funds safeguarded?	☑ Yes	☐ No
ST		(e) Are checks promptly endorsed and cash receipts reconciled daily?	√ Yes	☐ No
		(f) Are counter receipts and DL45s that are issued in sequence accounted for and returned to Fiscal Management Section upon completion?	Yes	☐ No
		(g) What specific guidelines are in place for security control and accountability? N/A		
		(h) Is a supervisor responsible for review of the system?	✓ Yes	□ No
		(i) Do total collections agree with the total amount of counter receipts and DL45s issued?	Yes	☐ No
		(j) Are counter receipts and transmittal records prepared properly?	Yes	□ No
		(k) Are surprise counts of funds performed and documented by the commander or designee?	☑ Yes	☐ No
	(2)	Are security and accountability procedures in place for the petty cash fund?	✓ Yes	☐ No
		(a) Is the petty cash fund used only for authorized purchases within the limited amount?	✓ Yes	☐ No ————
		(b) Are valid authorizations on file?	✓ Yes	☐ No
		(c) Is a Disbursement Voucher (Std. 439) completed and signed by the commander when the receipt does not show the vendor name or item purchased?	Yes	☐ No
		(d) Are there adequate procedures to ensure purchases are properly authorized?	☑ Yes	☐ No
		(e) Are surprise counts performed by someone not involved in handling the petty cash fund?	☑ Yes	☐ No
	(3)	Are X-Number services proper and within departmental and state policy?	☑ Yes	☐ No
		(a) Are services procured over \$4,999.99?	Yes	☑ No
		(b) Is the amount limit circumvented by splitting procurements?	Yes	☑ No
		(c) Are three price quotations obtained and documented on a CHP 78X, X-Number Request?		☐ No
		(d) Do invoices itemize charges and reference X-Numbers?	☑ Yes	☐ No
	(4)	Are bank cards adequately safeguarded, and purchases reviewed by a supervisor?	☑ Yes	☐ No
		(a) Are cardholders familiar with the bank card process, including prohibited and restricted items?	√ Yes	☐ No
		(b) Are purchases within established policy?	√ Yes	☐ No
_		(c) Are three price quotations obtained and documented on a CHP 315X?	√ Yes	□ No
		(d) Is the bank card log completed properly?	☑ Yes	☐ No

#### AREA MANAGEMENT EVALUATION

#### **OFFICE MANAGEMENT**

		(6	e)	Aı	e inv	oices	s an	d C	HP	317	, CA	L-Ca	rd Log	g, review	ed b	y a supervi	sor?					☑.	Yes	☐ No
		(f	F)	ls	here	a re	con	cilia	tion	of th	he m	nonth	ily bar	ık card si	tater	nent, and o	loes it hav	e su	pervis	ory app	roval?	$\square$	Yes	☐ No
t	o. W	Vhat	COI	ntr	ols do	es t	he o	com	ma	nder	hav	e in p	place	to ensure	e tim	ely transm	ttals of mo	onies	?		CAPT	AIN W	EEKLY	CHECK
	V	VITH	ΙP	SE	SII	O M	ÍAľ	Œ S	SUF	ΕO	SS I	I IS T	TAKIN	NG CAR	E OI	FIT,								
	(1															st occurre hursday?	nce of \$1,0	000 i	n cash	and			Yes	☐ No
	(2															Certificate, nittal with t			-2	bursal M/A	oles,		Yes	□No
	(3	3) A	re '	"nc	colle	ectio	n" tr	ans	mit	tals s	sent	whe	n appr	ropriate?								☑.	Yes	☐ No
	(4	) D	o ti	ire	sale	trans	sact	ions	s co	mply	/ witl	h poli	icy?							N/A			Yes	□ No
C	. Is	sec	urit	y c	f the	post	age	ma	achi	ne a	deq	uate?	?									☑ ,	Yes	☐ No
	(1	) Is	the	e r	nachi	ne lo	cke	ed w	her	not	in u	se?										☑ .	Yes	☐ No
	(2	) Is	the	e n	neter	read	ling	doc	cum	ente	d as	requ	uired?									☑.	Yes	☐ No
	(3	•											ed or to	2		Fiscal Man	=						Yes	□No
<i>5</i> Ş	SUPPLY REQUISITIONS (CHP 41)  EVALUATED ACTION REQUIRED NO									cori N/A	RECTED													
а	. Ar	. Are requisitions prepared properly?									\ <u>\</u>	Yes	☐ No											
	(1) Who prepares them? PSDSII DARLENE PEDERSEN																							
	(2)	) Ha	as i	a p	ractio	al s	tock	lev	el b	een	esta	ablish	ned ar	nd mainta	ainec	i?			====			☑,	Yes	☐ No
	(3)	) Is	the	ere	a sy	stem	tha	at no	otifie	s th	e sta	aff wh	nen th	e quarter	rly re	quisition is	going to t	be pr	ераге	d?		✓	Yes	☐ No
		(a	)	ls t	he qı	ıarte	rly	requ	isit	ion p	erio	d for	this c	ommand	adh	ered to?						<b>\( \lambda \)</b>	Yes	☐ No
		(b	) 1	ls 1	here	a hiç	gh n	um	ber	of er	merç	gency	y requ	isitions?									Yes	✓ No
b	. Ar	e ite	ms	st	ored	prop	erly	'in a	a st	orero	om'	?										☑,	Yes	☐ No
	(1)	) Is	the	ere	conv	enie	nt a	cce	ss 1	or re	egula	arly u	sed it	ems?								∅,	Yes	☐ No
	(2)	) Ha	ave	o ol	sole	e ite	ms	bee	en r	emo	ved	?		,								☑,	Yes	☐ No
6. S	UPP	LIES	3													YES YES			NO	REQUIRE	D	CORF N/A	RECTED	
a	Ar	e all	ca	mε	ras a	ssig	ned	to	the	com	mar	nd ac	counte	ed for?								☑.	Yes	☐ No
	(1)	) Ar	ес	an	nera (	ase	s cl	ean	and	d do	they	/ con	tain th	e require	ed a	ccessories'	?					☑,	Yes	☐ No
	(2)	ls	car	me	ra m	ainte	nar	ice	ass	gne	d to	a pai	rticula	r individu	ıal?							☑,	Yes	☐ No
		(a)	) \	Wh	at is	his/r	er	orev	/ent	ative	ma	inten	ance	schedule	?	INSPE	CT AFTE	R EA	ACH U	JSE.				
b.	Are	e all	ext	ter	ders	assi	gne	d to	the	e con	nma	ind a	ccoun	ted for?								<u>\</u>	Yes	□No

### AREA MANAGEMENT EVALUATION

### **OFFICE MANAGEMENT**

	(1	Is there adequate security for extender batteries and other s		☑ Yes	☐ No	
* 7.	OFFI	CE EQUIPMENT	YES YES	ACTION REQUIRED NO	CORRECTED N/A	
	a. A	re office machines in good condition and properly maintained?	disease of the same of the sam	M. V.	☑ Yes	☐ No
	(1	Is the vendor complying with maintenance contract provision	ns?		☑ Yes	☐ No
	(2	2) Is there a shortage or surplus of machines?			☐ Yes	☑ No
	b. (s	the Management Information System (MIS) used properly?	, 11 - 4 (14		☑ Yes	☐ No
	(1	) Who is authorized to use the equipment? ALL PERSON	INEL			
	(2	2) How is training provided, and by whom? ONE ON ONE	E TRAINING PROVIDE	ED BY OSSI.		
	(3	) Is there a usage schedule for uniformed and nonuniformed	personnel?		Yes	☑ No
	(4	) Are there controls in place to ensure confidentiality?			☑ Yes	☐ No
	(5	) Are all personnel aware of how to request repairs after norm	nal business hours?		☑ Yes	☐ No
	(6	) Is the MIS used to send messages to other offices in lieu of	formal memorandums?		√ Yes	☐ No
	(7	) What system is used to ensure proper routing of MIS inform	IANUAL			
	Ar	re personal computers used properly? N/A - NO PENSO	USED BY STAFF	Yes	□ No	
	(1)	) Who is authorized to use the equipment?				
	)					
	(2)	How is training provided, and by whom?				
_	)					
/						
(		(a) How many employees are trained in its use?				
	(3)	Are there restrictions on the time its used?			Yes	☐ No
(	)	(a) Is there a schedule for uniformed and nonuniformed em	ployees?		Yes	☐ No
(	(4)	Is confidential or sensitive information being stored on a PC	hard drive?		Yes	☐ No
		(a) If so, is the PC password protected?			Yes	□ No
(		(b) Is confidential or sensitive information stored on disks, ( secure area?	CDs, or removable drives	s kept in a	Yes	□No
T	(5)	What is the PC being used for?				
I	540					
_	(6)	Are controls present to prevent inappropriate/personal use o	f the computer?		Yes	□ No
_						

## AREA MANAGEMENT EVALUATION

#### OFFICE MANAGEMENT

(7) Are backup procedures being performed on a regular basis?	☑ Yes	☐ No
(a) Where applicable, are backup disks stored in a secure area?	√ Yes	☐ No
(8) Are PC manuals and other documentation available to all users?	☑ Yes	☐ No
(9) What procedures are in place to ensure out-of-date documents and files are purged? AREA USES	THE DEPARTI	MENTS
RETENTION LIST.		
(10) Are employees aware of the availability of assistance in resolving computer related problems?	✓ Yes	☐ No
(11) Is anti-virus software regularly utilized on all state-owned PCs?	☑ Yes	☐ No
8. PUBLIC CONTACTS  EVALUATED ACTION REQUIRED NO	CORRECTED N/A	
a. Does the office have extended office hours?	Yes	☑ No
(1) If so, are they adequate and effective?	☐ Yes	□ No
b. Are persons served promptly and courteously?	☑ Yes	☐ No
(1) Are backup personnel immediately available?	☑ Yes	☐ No
(2) Is telephone service both efficient and effective?	☑ Yes	☐ No
(3) Are limited duty personnel used for receptionist duties and answering telephones?	☑ Yes	☐ No
(4) Are officer substitutions for nonuniformed positions kept at a minimum?	☑ Yes	☐ No
9. SCHOOL BUS DRIVER EXAMINATIONS  EVALUATED ACTION REQUIRED NO	CORRECTED N/A	
a. Is school bus driver testing a special duty or a clerical function, or is a full-time school bus coordinator assigned?		
(1) Are tests and test keys kept in a secure place?	☐ Yes	☐ No
(2) How are Interested parties advised of testing procedures?		
(a) Are exams graded in the presence of the applicant, and missed questions discussed?	☐ Yes	☐ No
(b) Does the officer or coordinator take possession of the test and dispose of accordingly?	☐ Yes	☐ No
(3) How are test disposed of?		
	1	
(4) Is there a specific date and time set aside for testing?	Yes	☐ No
COURT INFORMATION PROCEDURES  EVALUATED ACTION REQUIRED NO	CORRECTED N/A	
a. Is there a systematic method of coordinating court appearance matters?		

## AREA MANAGEMENT EVALUATION

#### **OFFICE MANAGEMENT**

(1)	What controls are in place to ensure officers appear in	court? WHEN SUBPO	DENAS ARE RECE	IVED, THE CAI	D UNIT
	ACCEPTS AND DISTRIBUTES TO THE APPROPR	IATE SERGEANT. THE S	SERGEANT THEN	ENSURES THE	OFFICER
	RECEIVES THE SUBPOENAS.				
	(a) How are appearances minimized following cancella	ations? OFFICERS AI	RE IMMEDIATELY	NOTIFIED BY	A
	SERGEANT.				
	(b) How are "short notice" cancellations minimized?	OFFICERS REQUIRE	O TO CONTACT TE	HE COURT 24 I	HOURS
	PRIOR TO THE APPEARANCE.				
(2)	Are CHP 90s, Report of Court Appearance - Civil Action appropriate cases?	n, properly distributed and c	ompleted on all	☑ Yes	□ No
(3)	Who is responsible for managing the process?	CAD SUPERVISOR			
	(a) Are court officers performing duties that could be h	andled by clerical personne	1?	Yes	☑ No
DEPA	RTMENTAL MANUALS	YES	NO REQUIRED	N/A	
Are	the number of authorized libraries being maintained?		<b>^</b>	✓ Yes	☐ No
(1)	Are the libraries convenient for those who must use the	m?		☑ Yes	☐ No
	(a) What controls are in place for "loaning" manuals to	employees? SIGN	OUT CARDS ARE	AVAILABLE.	
(2)					□ No
	Are publications distinctively marked so they can be rea	dily identified?		Y」Yes	
	Are publications distinctively marked so they can be rea  (a) Are the number of libraries excessive or sufficient?	-41	RARY ALONG WI		
		SUFFICIENT, ONE LIB	RARY ALONG WI		
	(a) Are the number of libraries excessive or sufficient?	SUFFICIENT, ONE LIB	RARY ALONG WI	TH INTRANET	`ACCESS.
(3)	<ul><li>(a) Are the number of libraries excessive or sufficient?</li><li>(b) Is there a listing available of what should be in each</li></ul>	SUFFICIENT, ONE LIE	RARY ALONG WI	TH INTRANET	`ACCESS.
(3)	<ul><li>(a) Are the number of libraries excessive or sufficient?</li><li>(b) Is there a listing available of what should be in each Are publications kept up-to-date?</li></ul>	SUFFICIENT, ONE LIE	RARY ALONG WI	TH INTRANET	`ACCESS.
	(2) (3) DEPA Are (1)	ACCEPTS AND DISTRIBUTES TO THE APPROPR RECEIVES THE SUBPOENAS.  (a) How are appearances minimized following cancella SERGEANT.  (b) How are "short notice" cancellations minimized? PRIOR TO THE APPEARANCE.  (2) Are CHP 90s, Report of Court Appearance - Civil Action appropriate cases?  (3) Who is responsible for managing the process?  (a) Are court officers performing duties that could be hopeparance.  DEPARTMENTAL MANUALS  Are the number of authorized libraries being maintained?  (1) Are the libraries convenient for those who must use the	ACCEPTS AND DISTRIBUTES TO THE APPROPRIATE SERGEANT. THE S RECEIVES THE SUBPOENAS.  (a) How are appearances minimized following cancellations? OFFICERS AI SERGEANT.  (b) How are "short notice" cancellations minimized? OFFICERS REQUIRED PRIOR TO THE APPEARANCE.  (2) Are CHP 90s, Report of Court Appearance - Civil Action, properly distributed and cappropriate cases?  (3) Who is responsible for managing the process? CAD SUPERVISOR  (a) Are court officers performing duties that could be handled by clerical personned DEPARTMENTAL MANUALS  Are the number of authorized libraries being maintained?  (1) Are the libraries convenient for those who must use them?  (a) What controls are in place for "loaning" manuals to employees? SIGN	ACCEPTS AND DISTRIBUTES TO THE APPROPRIATE SERGEANT. THE SERGEANT THEN RECEIVES THE SUBPOENAS.  (a) How are appearances minimized following cancellations? OFFICERS ARE IMMEDIATELY SERGEANT.  (b) How are "short notice" cancellations minimized? OFFICERS REQUIRED TO CONTACT TO PRIOR TO THE APPEARANCE.  (2) Are CHP 90s, Report of Court Appearance - Civil Action, properly distributed and completed on all appropriate cases?  (3) Who is responsible for managing the process? CAD SUPERVISOR  (a) Are court officers performing duties that could be handled by clerical personnel?  DEPARTMENTAL MANUALS  Are the number of authorized libraries being maintained?  (1) Are the libraries convenient for those who must use them?  (a) What controls are in place for "loaning" manuals to employees? SIGN OUT CARDS ARE	ACCEPTS AND DISTRIBUTES TO THE APPROPRIATE SERGEANT. THE SERGEANT THEN ENSURES THE RECEIVES THE SUBPOENAS.  (a) How are appearances minimized following cancellations? OFFICERS ARE IMMEDIATELY NOTIFIED BY SERGEANT.  (b) How are "short notice" cancellations minimized? OFFICERS REQUIRED TO CONTACT THE COURT 24 FOR PRIOR TO THE APPEARANCE.  (2) Are CHP 90s, Report of Court Appearance - Civil Action, properly distributed and completed on all appropriate cases?  (3) Who is responsible for managing the process? CAD SUPERVISOR  (a) Are court officers performing duties that could be handled by clerical personnel? Yes  DEPARTMENTAL MANUALS  Are the number of authorized libraries being maintained? Yes  (1) Are the libraries convenient for those who must use them?

STATE OF CALIFORNIA

DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

AREA

DIVISION

COUNTY OF CALIFORNIA HIGHWAY PATROL

# AREA MANAGEMENT EVALUATION OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

AREA DIVISION NUMBER

509/510 Southern Division

EVALUATED BY

J. Kolstad #16434 08/12/2008

`TRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box. If this norm is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed on the CHP 454, Area Management Evaluation Supplement. The Supplement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Supplement can be handwritten if desired

		perion, and the Supplement car							
TYPE OF EV		rmal Evaluation	SUSPENSE DATE						
FOLLOW-UP	REQUIRED	Correction Report	COMMANDER'S REVIE	EW	DATE				
☐ Yes	☑ No	BY							
1. CLER	CICAL TASKS		EVALUATED Yes	ACTION REQUIRED	CORRECTED				
a. Is	the office well organized?		1200	11.0	✓ Yes	☐ No			
(1)	) Are there written job des	scriptions?			✓ Yes	 □ No			
	(a) Does clerical staff h	nave their job description at their de	sk?		✓ Yes	□ No			
	(b) Does clerical staff u	understand what is expected of then	n?		✓ Yes	☐ No			
(2)	Are similar activities gro		✓ Yes	□ No					
(3)	If tape recorders are use	ed, can clerical employees transcrib	e effectively?	0.	☐ Yes	☐ No			
(4)	Is the clerical staff knowl	ledgeable in the use of personal co	mputers, filing red	quirements, information					
	security, etc.?				✓ Yes	☐ No			
(5)		ployee assume the duties of a cleric	cal employee who	is absent?	✓ Yes	□ No			
b. Is t	the Office Services Superv	risor (OSS) effective?			☑ Yes	☐ No			
(1)	Does he/she properly ap	ply management philosophies and	supervisory skills	?	✓ Yes	☐ No			
	(a) Does he/she have the	he authority and backing necessary	to effectively sup	pervise subordinates?	☑ Yes	☐ No			
	(b) Is the clerical super	visor an effective manager?			☑ Yes	☐ No			
(2)	Does the OSS identify er	nployes with supervisory potential?			✓ Yes	☐ No			
	(a) Does he/she assist of development?	employees in the preparation of wri	tten plans for pro	gressive career	√ Yes	☐ No			
	(b) Have special interes been afforded the en	its been identified and educational on ployees?	opportunities and	or departmental training	☑ Yes	☐ No			
	(c) Has the CHP 120, In Employee, been use	dividual Development Plan for Futude to identify particular strengths of	ire Job Performar the employees?	nce of Permanent	√ Yes	□No			
(3)	Does the supervisor set a	good example?			☑ Yes	☐ No			
	(a) Does he/she show a	willingness to assist subordinate p	ersonnel?		✓ Yes	☐ No			
	(b) Does he/she know w	hen to act, when to delegate, and v	when to refer to a	supervisor?	☑ Yes	☐ No			
(4)	If there is more than one	OSS, is the work and supervision e	venly distributed?	?	☐ Yes	□ No			
(5)	Does the OSS participate	in Area staff meetings?			✓ Yes	□ No			

### AREA MANAGEMENT EVALUATION

### **OFFICE MANAGEMENT**

FILING SYSTEM		EVALUATED Yes	ACTION REQUIRED	CORRECTED	
a. Is the Area's filing system in con     File Guide?	npliance with departmental guide		I E W.	✓ Yes	
b. Are other files, i.e., permanent fi	les enforcement document files	ote maintained accor	ding to policy?	✓ Yes	No
	eports being maintained? n/a	, etc., maintained accor	unig to policy:		INO
(2) Is there a filing backlog?	sports being maintained? Wa				
				Yes	✓ No
(3) Is there evidence of recent (				✓ Yes	□ No
	All Commanders Memorandums		There is one library		nand and
	espective Captain's office. The	USS-II files updates an	d purges outdated mai		
(5) Are Training and Information				✓ Yes	□ No
(a) If so, how are they local	ted? See above (4).				
					<u> </u>
(6) Do all clerical employees un				✓ Yes	□ No
(7) Does the Area have an effect	✓ Yes	□ No			
(a) Do all supervisors take	✓ Yes	☐ No			
<ol> <li>Are personnel files properly secu</li> </ol>		☑ Yes	☐ No		
(1) Are the requirements of the	nformation Practices Act being	followed?		☑ Yes	□ No
(2) Is a periodic review done on	a regular basis?			√ Yes	☐ No
(a) If so, how often? Person	onnel files are reviewed annually	y.			
(3) Is annual employee review a	nd updating conducted as requi	red?		√ Yes	☐ No
(4) Are only required or permitte	d items contained in personnel	folders?		✓ Yes	☐ No
3. SECURITY OF CRIMINAL RECORD	s	EVALUATED Yes	NO REQUIRED	CORRECTED	
Have employees who have acces stating they understand the regular	s to criminal offender record infations and policies pertaining to	ormation signed an ack these records?	nowledgment	☑ Yes	☐ No
(1) Has the Area designated a s	pecific person to release crimina	al offender record inform	nation?	☑ Yes	☐ No
(a) Do any other persons re	lease this information?			Yes	☑ No
(b) Has the designated pers	on completed the required train	ing?		✓ Yes	☐ No
(c) Are safeguards in place		√ Yes	☐ No		
(2) Does each person that is des Record Information Release I	☑ Yes	☐ No			
(a) Are entries maintained for	or the prescribed period of time?	)		√ Yes	□ No
FISCAL PROCEDURES		evaluated Yes	ACTION REQUIRED No	CORRECTED	
a. Have discrepancies on the most of	urrent audit reports been correc	eted?		✓ Yes	□ No

#### AREA MANAGEMENT EVALUATION

### OFFICE MANAGEMENT

a postani					
	(1	) Are	all change fund and collections handled and processed according to policy?	☑ Yes	☐ No
_		(a)	Are counter receipts and DL45s, California Special Driver's Certificate, issued to the field accounted for and safeguarded?	☑ Yes	□ No
		(b)	Are "voided" or "no fee" DL45s marked as such, signed by the commander, and forwarded to Fiscal Management Section?	☑ Yes	□No
		(c)	Is there a separation of duties between cashier responsibilities and transmittal of collections?	☑ Yes	□ No
		(d)	Are collections and change funds safeguarded?	☑ Yes	☐ No
		(e)	Are checks promptly endorsed and cash receipts reconciled daily?	☑ Yes	□No
		(f)	Are counter receipts and DL45s that are issued in sequence accounted for and returned to Fiscal Management Section upon completion?	☑ Yes	□No
		(g)	What specific guidelines are in place for security control and accountability?	Commander p	rovide
			accountability and oversight. They also conduct random audits and checks to ensure accuracy.		
		(h)	Is a supervisor responsible for review of the system?	☑ Yes	☐ No
		(i)	Do total collections agree with the total amount of counter receipts and DL45s issued?	☑ Yes	☐ No
		(j)	Are counter receipts and transmittal records prepared properly?	☑ Yes	☐ No
		(k)	Are surprise counts of funds performed and documented by the commander or designee?	☑ Yes	□ No
	(2)	Are	security and accountability procedures in place for the petty cash fund?	☑ Yes	☐ No
		(a)	Is the petty cash fund used only for authorized purchases within the limited amount?	☑ Yes	□No
		(b)	Are valid authorizations on file?	☑ Yes	☐ No
		(c)	Is a Disbursement Voucher (Std. 439) completed and signed by the commander when the receipt does not show the vendor name or item purchased?	☑ Yes	□No
		(d)	Are there adequate procedures to ensure purchases are properly authorized?	☑ Yes	□No
		(e)	Are surprise counts performed by someone not involved in handling the petty cash fund?	☑ Yes	□No
·	(3)	Are >	K-Number services proper and within departmental and state policy?	☑ Yes	☐ No
		(a)	Are services procured over \$4,999.99?	Yes	☑ No
		(b)	Is the amount limit circumvented by splitting procurements?	Yes	☑ No
r041000		(c) A	Are three price quotations obtained and documented on a CHP 78X, X-Number Request?	☑ Yes	☐ No
		(d) I	Do invoices itemize charges and reference X-Numbers?	☑ Yes	☐ No
	(4)	Are b	ank cards adequately safeguarded, and purchases reviewed by a supervisor?	☑ Yes	☐ No
		(a) A	Are cardholders familiar with the bank card process, including prohibited and restricted items?	☑ Yes	□ No
_		(b) A	Are purchases within established policy?	☑ Yes	☐ No
		(c) A	Are three price quotations obtained and documented on a CHP 315X?	✓ Yes	☐ No
		(d) I	s the bank card log completed properly?	☑ Yes	☐ No

## **AREA MANAGEMENT EVALUATION**

CHP	453E	(Rev.	5-06)	OPI	009

			(e)	Ar	e invo	ices a	and C	CHC	317,	CAL	-Card	Log, re	eviewed	by a su	pervisor?					✓ Yes	☐ No
			(f)	ls t	nere a	reco	ncilia	ation	of th	e mo	onthly	bank c	ard stat	ement, a	and does	it have s	upervisor	y approv	al?	√ Yes	☐ No
	b. \	Wha	at co	ontro	ls do	es the	com	ımar	nder h	have	in pla	ace to e	nsure ti	mely tra	nsmittals	of moni	es?	Т	he OSS	-II complete	es the
	İ	mon	ey tı	rans	mitta	ls on	a wee	ekly	basis	. Al	l trans	smittals	are rev	iewed a	nd appro	ved by th	e Comma	nders.			
	(	[1)	Are \$10,	,000	ection total	is ser	nt to F	Fisca s, or	al Mai	nage e clo	ement se of	Section busine	n at the ss each	first occ Thursda	urrence o	of \$1,000	) in cash a	ınd		<b>√</b> Yes	□ No
	(:	2)	Are evid	moi lenc	nies r e, etc	eceive ., han	∍d for idled	r DL4 app	45s, ( ropria	Califo ately	ornia by co	Special ordinat	Driver's	s Certific smittal v	cate, asse vith the A	et forfeitu rea cash	ire, reimbu ier?	ursables	1	☑ Yes	☐ No
	(;	3)	Are	"no	colle	ction"	trans	smitt	als se	ent w	vhen a	appropr	iate?							☑ Yes	☐ No
	(4	4)	Do t	tire s	sale ti	ansa	ctions	s cor	mply <sup>,</sup>	with	policy	/?								<b>✓</b> Yes	☐ No
	c. Is	s se	curit	ty of	the p	ostaç	je ma	achir	ne ad	lequa	ate?									√ Yes	☐ No
	(′	1)	ls th	e m	achin	e loci	ced w	vhen	not i	n use	e?									✓ Yes	☐ No
	(2	2)	s th	e m	eter r	eadin	g doc	cume	ented	as r	equir	ed?								√ Yes	☐ No
	(3	3) I	s the	ere age	docu macł	nenta iine is	ition o	of m	onies paire	s refu ed or	ınded repla	or forw	/arded t	o Fiscal	Manage	ment Se	ction wher	the		√ Yes	□No
- (	SUPI	PLY	RE	QU	SITIC	ONS (	СНР	41)						Yes	ATED		No ACTION REG	QUIRED		CORRECTED	
a	a. A	re r	equi	isitic	ns pi	epare	ed pro	oper	ly?											☑ Yes	☐ No
	(1	1) \	Vho	pre	pare	then	n? ]	The (	oss-	II an	d one	of the	office to	chs con	nplete the	requisi	ions.				
	(2	2) H	las	a pr	actica	al stoc	k lev	/el b	een e	estab	lished	d and m	naintaine	ed?						☑ Yes	☐ No
	(3	3)	s the	ere	a sys	em th	at no	otifie	s the	staff	fwher	n the qu	uarterly	requisiti	on is goir	ng to be	prepared?			√ Yes	☐ No
		(	a)	ls th	e qua	arterly	requ	uisitio	on pe	eriod	for th	is comr	mand ac	lhered t	0?					☑ Yes	☐ No
		(	b) I	ls th	ere a	high	numl	ber o	of em	erge	ncy re	equisitio	ons?							☐ Yes	☑ No
b	. Aı	re it	ems	sto	red p	roper	y in a	a sto	reroc	om?										<b>√</b> Yes	☐ No
	(1	) l:	s the	ere d	onve	nient	acce	ess fo	or reg	gulari	ly use	ed items	s?							☑ Yes	☐ No
	(2	?) H	lave	ob	solete	item	s bee	en re	emove	ed?										☑ Yes	☐ No
. s	UPP	PLIE	s											Yes	TED		No No	DUIRED		CORRECTED	
а	. Ar	re al	l car	mer	as as	signe	d to t	the c	omm	and	acco	unted fo	or?							<b>√</b> Yes	☐ No
	(1)	) A	re c	ame	ега са	ses c	lean	and	do th	пеу с	ontai	n the re	quired a	accesso	ries?					✓ Yes	☐ No
	(2)	) Is	car	mer	a mai	ntena	nce a	assiç	gned	to a	partic	ular ind	lividual?	•						<b>√</b> Yes	☐ No
		(8	a) V	Nha	t is h	s/her	prev	enta	ative r	main	tenan	ice sche	edule?	Cai	meras are	replace	d and fixe	d as req	uired b	y an approve	ed vendor.
b.	Ar	e al	ext	end	ers a	ssign	ed to	the	comr	mand	dacco	ounted f	for?							<b>√</b> Yes	☐ No
-	_	-		-	_																

## AREA MANAGEMENT EVALUATION

#### **OFFICE MANAGEMENT**

Cr	IF 455	E (Nev. 5-00) OPI 009					
	(1	) Is there adequate security for extender batt	teries and other	supplies?		√ Yes	☐ No
7.	OFFI	CE EQUIPMENT		Yes Yes	ACTION REQUIRED NO	CORRECTED	
	a. A	re office machines in good condition and proper	erly maintained?	)		√ Yes	☐ No
	(1	) Is the vendor complying with maintenance	contract provisio	ns?		☑ Yes	☐ No
_	(2	) Is there a shortage or surplus of machines?	?			Yes	☑ No
	b. Is	the Management Information System (MIS) u	sed properly?			√ Yes	☐ No
	(1	) Who is authorized to use the equipment?	The OSS-II, th	ne office tech., and	the administrative Lt. use	the MIS.	
	(2	, , , , , , , , , , , , , , , , , , , ,	Training is pro	ovided on-line and	additional assistance is pr	rovided by the O	SS-II if
		needed.					
	(3	) Is there a usage schedule for uniformed and	d nonuniformed	personnel?		Yes	☑ No
	(4	) Are there controls in place to ensure confide	entiality?			√ Yes	☐ No
	(5	) Are all personnel aware of how to request re	epairs after norm	nal business hours	?	☑ Yes	☐ No
_	(6	) Is the MIS used to send messages to other	√ Yes	☐ No			
	(7)	of the MIS infor	mation.				
	Ar	e personal computers used properly?				Yes	☐ No
	(1)	Who is authorized to use the equipment?					
	(2)	How is training provided, and by whom?					
		(a) How many employees are trained in its	use?				
	(3)	Are there restrictions on the time its used?				Yes	☐ No
		(a) Is there a schedule for uniformed and n	onuniformed em	ployees?		☐ Yes	☐ No
	(4)	Is confidential or sensitive information being	stored on a PC	hard drive?		☐ Yes	☐ No
		(a) If so, is the PC password protected?				Yes	☐ No
		(b) Is confidential or sensitive information s secure area?	tored on disks, (	CDs, or removable	drives kept in a	√ Yes	☐ No
	(5)	What is the PC being used for? Personal	sonal computers	are not used by cl	erical employees at work	. Occasionally d	lata will be
		stored on an external source for use at home	or for storage p	urposes. These are	e securely stored and the	information store	ed is
Ī		encrypted.					
	(6)	Are controls present to prevent inappropriate	e/personal use o	f the computer?		Yes	☐ No

		MANAGEMENT EVALUATION  MANAGEMENT	
CHF	453E	(Rev. 5-06) OPI 009	
	(7)	Are backup procedures being performed on a regular basis?	
		(a) Where applicable, are backup disks stored in a secure area?	

	(7) Are backup procedures being performed on a regular	basis?		☐ Yes	☐ No
_	(a) Where applicable, are backup disks stored in a se	ecure area?		☐ Yes	☐ No
	(8) Are PC manuals and other documentation available to	all users?		√ Yes	☐ No
	(9) What procedures are in place to ensure out-of-date do	ocuments and files are	purged? The OSS-II a	and the Lt. follow	v the
70-0	direction of the Division LAN Coordinator to ensure t	hat old data and user in	formation is deleted when	appropriate.	
	(10) Are employees aware of the availability of assistance i	n resolving computer re	elated problems?	√ Yes	☐ No
	(11) Is anti-virus software regularly utilized on all state-own	ed PCs?		☑ Yes	☐ No
8.	PUBLIC CONTACTS	Yes Yes	No No	CORRECTED	
_	a. Does the office have extended office hours?			☐ Yes	☑ No
	(1) If so, are they adequate and effective?			☐ Yes	□ No
_	b. Are persons served promptly and courteously?			√ Yes	☐ No
	(1) Are backup personnel immediately available?			√ Yes	☐ No
	(2) Is telephone service both efficient and effective?	√Yes	☐ No		
	(3) Are limited duty personnel used for receptionist duties	and answering telepho	nes?	☐ Yes	☑ No
	(4) Are officer substitutions for nonuniformed positions kep	ot at a minimum?		☑ Yes	☐ No
9.	SCHOOL BUS DRIVER EXAMINATIONS	n/a	n/a	CORRECTED	
	<ul> <li>a. Is school bus driver testing a special duty or a clerical funct assigned?</li> </ul>	ion, or is a full-time sch	ool bus coordinator		
-	(1) Are tests and test keys kept in a secure place?			Yes	☐ No
	(2) How are interested parties advised of testing procedure	es?			
	(a) Are exams graded in the presence of the applicant	t, and missed questions	s discussed?	☐ Yes	□ No
	(b) Does the officer or coordinator take possession of	the test and dispose of	accordingly?	Yes	☐ No
	(3) How are test disposed of?				
	(4) Is there a specific date and time set aside for testing?			Yes	☐ No
	COURT INFORMATION PROCEDURES	Yes	ACTION REQUIRED	CORRECTED	
а	a. Is there a systematic method of coordinating court appearar		1.00	✓ Yes	☐ No

#### AREA MANAGEMENT EVALUATION

#### **OFFICE MANAGEMENT**

CHP 453E (R)	ev. 5-06)	OPI	009
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What controls are in place to ensure officers appear	in court?	The off	ce tech. that serves as the su	bpoena control o	lerk
ensures that all subpoenas are forwarded to the shift	superviso	r, signed by t	ne employee, and logged into	o the subpoena lo	og book.
(a) How are appearances minimized following cand	cellations?	Officer	s are notified by phone.	-	
ensures that all subpoenss are forwarded to the shift supervisor, signed by the employee, and logged in  (a) How are appearances minimized following cancellations? Officers are notified by phone.  (b) How are "short notice" cancellations minimized? See above.  (2) Are CHP 90s, Report of Court Appearance - Civil Action, properly distributed and completed on all appropriate cases?  (3) Who is responsible for managing the process? The office tech.  (a) Are court officers performing duties that could be handled by clerical personnel?  (b) Are the number of authorized libraries being maintained?  (c) Are the libraries convenient for those who must use them?  (a) What controls are in place for "loaning" manuals to employees? There are not loaned.  (b) Is there a listing available of what should be in each library?  (a) Are publications kept up-to-date?  (b) Is there a listing available of what should be in each library?  (b) Are publication changes? The OSS-II					
appropriate cases?			d and completed on all	<b>√</b> Yes	□No
Who is responsible for managing the process?	The office	ce tech.			
(a) Are court officers performing duties that could b	e handled	by clerical pe	rsonnel?	☐ Yes	✓ No
ARTMENTAL MANUALS	1-0-4		The state of the s	CORRECTED	
the number of authorized libraries being maintained?	>			✓ Yes	☐ No
Are the libraries convenient for those who must use	them?			√ Yes	☐ No
(a) What controls are in place for "loaning" manuals	s to emplo	yees?	There are not loaned.		
Are publications distinctively marked so they can be	readily ide	ntified?		✓ Yes	□No
(a) Are the number of libraries excessive or sufficient	nt? suffi	cient			
(b) Is there a listing available of what should be in e	each library	/?		√ Yes	☐ No
Are publications kept up-to-date?				√ Yes	☐ No
Who files publication changes? The OSS-II					
	l Unit) are	housed at the	same location. Both Areas	are served by or	ne clerical
	ensures that all subpoenas are forwarded to the shift  (a) How are appearances minimized following cand  (b) How are "short notice" cancellations minimized  Are CHP 90s, Report of Court Appearance - Civil Adappropriate cases?  (a) Who is responsible for managing the process?  (a) Are court officers performing duties that could be are the number of authorized libraries being maintained?  Are the libraries convenient for those who must use  (a) What controls are in place for "loaning" manual  Are publications distinctively marked so they can be  (a) Are the number of libraries excessive or sufficie  (b) Is there a listing available of what should be in expenditured to the control of the co	ensures that all subpoenas are forwarded to the shift superviso  (a) How are appearances minimized following cancellations?  (b) How are "short notice" cancellations minimized? See  (a) Are CHP 90s, Report of Court Appearance - Civil Action, proper appropriate cases?  (b) Who is responsible for managing the process? The official Are court officers performing duties that could be handled the number of authorized libraries being maintained?  Are the libraries convenient for those who must use them?  (a) What controls are in place for "loaning" manuals to employ the publications distinctively marked so they can be readily ide  (a) Are the number of libraries excessive or sufficient? sufficient?  Are publications kept up-to-date?  Who files publication changes? The OSS-II	ensures that all subpoenas are forwarded to the shift supervisor, signed by the controls are in place for "loaning" manuals to employees?  Are undersomerous distinctively marked so they can be readily identified?  Are the number of libraries excessive or sufficient?  Are publications kept up-to-date?  Who files publication changes?  The OSS-II  Officers	ensures that all subpoenas are forwarded to the shift supervisor, signed by the employee, and logged into the shift supervisor, signed by the employee, and logged into the same location.  (a) How are appearances minimized following cancellations? Officers are notified by phone.  (b) How are "short notice" cancellations minimized? See above.  (c) Are CHP 90s, Report of Court Appearance - Civil Action, properly distributed and completed on all appropriate cases?  (d) Who is responsible for managing the process? The office tech.  (e) Are court officers performing duties that could be handled by clerical personnel?  ARTMENTAL MANUALS  EVALUATED Yes  No  Are the libraries convenient for those who must use them?  (a) What controls are in place for "loaning" manuals to employees? There are not loaned.  Are publications distinctively marked so they can be readily identified?  (a) Are the number of libraries excessive or sufficient? sufficient  (b) Is there a listing available of what should be in each library?  Are publications kept up-to-date?  Who files publication changes? The OSS-II	ensures that all subpoens are forwarded to the shift supervisor, signed by the employee, and logged into the subpoens log

CHP 453E (Rev. 5-06) Page 7

ther Area has a school bus coordinator or conducts school bus testing.

# AREA MANAGEMENT EVALUATION OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

AREA	DIVISION	NUMBER
East LA/535	Southern	
EVALUATED BY		DATE
J. Kolstad #16434		07/17/2008

TRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box. If this is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed on the CHP 454, Area Management Evaluation Supplement. The Supplement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Supplement can be handwritten if desired.

TYPE	OF EV	/ALUATION			SUSPENSE DATE				
V	Forn	nal Evaluation	Informal Evaluation						
FOLL	OW-UF	REQUIRED	Correction Report		COMMANDER'S REVIEW	V		DATE	
	Yes	☑ No	BY						
1. (	LER	RICAL TASKS			EVALUATED Yes	ACTION RE	QUIRED	CORRECTED	
а	. Is	the office well organiz	zed?			Ť.		✓ Yes	☐ No
	(1)	) Are there written job	b descriptions?					√ Yes	☐ No
		(a) Does clerical s	staff have their job description at	t their des	sk?			√ Yes	☐ No
		(b) Does clerical s	taff understand what is expecte	d of them	1?			√ Yes	☐ No
	(2)	) Are similar activities	s grouped together to promote e	efficiency	?			✓ Yes	☐ No
	(3)	) If tape recorders are	e used, can clerical employees	transcribe	e effectively?			√ Yes	☐ No
	(4)	Is the clerical staff k security, etc.?	knowledgeable in the use of per	sonal cor	mputers, filing requ	uirements, infor	mation	☑ Yes	☐ No
	(5)	Can another clerica	l employee assume the duties of	of a cleric	al employee who	is absent?		√ Yes	☐ No
b.	. Is	the Office Services Su	upervisor (OSS) effective?					√ Yes	☐ No
	(1)	Does he/she proper	ly apply management philosoph	hies and	supervisory skills?			√ Yes	☐ No
		(a) Does he/she ha	ave the authority and backing n	ecessary	to effectively supe	ervise subordin	ates?	√ Yes	☐ No
		(b) Is the clerical se	upervisor an effective manager	?				√ Yes	☐ No
	(2)	Does the OSS ident	tify employes with supervisory p	otential?				√ Yes	☐ No
		(a) Does he/she as development?	ssist employees in the preparati	on of writ	ten plans for prog	ressive career		☐ Yes	<b>☑</b> No
		(b) Have special in been afforded the	terests been identified and edu he employees?	cational c	opportunities and/	or departmenta	l training	Yes	☑ No
			20, Individual Development Plan n used to identify particular stre			ce of Permane	nt	☐ Yes	<b>☑</b> No
	(3)	Does the supervisor	set a good example?					✓ Yes	☐ No
		(a) Does he/she sh	ow a willingness to assist subo	rdinate p	ersonnel?			✓ Yes	☐ No
		(b) Does he/she kn	now when to act, when to delega	ate, and v	vhen to refer to a	supervisor?		✓ Yes	☐ No
Į.	(4)	If there is more than	one OSS, is the work and supe	ervision e	venly distributed?			Yes	☐ No
	(5)	Does the OSS partic	cipate in Area staff meetings?					√ Yes	☐ No

## AREA MANAGEMENT EVALUATION

#### **OFFICE MANAGEMENT**

:	LIN	G SYSTEM	EVALUATED	ACTION REQUIRED	CORRECTED	
	_		Yes	No		
ě		the Area's filing system in compliance with departmental guide le Guide?	elines contained i	n HPG 11.1, Field Office	√ Yes	☐ No
t	o. Ar	e other files, i.e., permanent files, enforcement document files	, etc., maintained	according to policy?	√ Yes	☐ No
	(1)	How far back are accident reports being maintained? 5 to	7 years			
	(2)	Is there a filing backlog?			☐ Yes	<b>√</b> No
	(3)	Is there evidence of recent office review?			√ Yes	☐ No
	(4)	How are Management and All Commanders Memorandums	filed and purged	? OSS-II with the as	sistance of the (	Office Tec
		assures that MMs are current and up to date.				
	(5)	Are Training and Information Bulletins filed?			√ Yes	☐ No
		(a) If so, how are they located? In the filing system	located in the cle	erical unit.		
	(6)	Do all clerical employees understand the filing system?			√ Yes	□No
	(7)	Does the Area have an effective suspense system?			√ Yes	☐ No
		(a) Do all supervisors take advantage of the suspense syst	em?		✓ Yes	☐ No
	Are	personnel files properly secured and access limited?		4	√ Yes	☐ No
	(1)	Are the requirements of the Information Practices Act being	followed?		✓ Yes	☐ No
	(2)	Is a periodic review done on a regular basis?			√ Yes	☐ No
		(a) If so, how often? Quarterly. With an extensive annual	l review.			
	(3)	Is annual employee review and updating conducted as requi	red?		√ Yes	☐ No
	(4)	Are only required or permitted items contained in personnel	folders?		√ Yes	☐ No
S	ECUF	RITY OF CRIMINAL RECORDS	Yes Yes	ACTION REQUIRED No	CORRECTED	
a.		ve employees who have access to criminal offender record infiting they understand the regulations and policies pertaining to		an acknowledgment	✓ Yes	☐ No
	(1)	Has the Area designated a specific person to release crimina	al offender record	information?	✓ Yes	☐ No
		(a) Do any other persons release this information?			☐ Yes	<b>√</b> No
		(b) Has the designated person completed the required train	ing?		✓ Yes	☐ No
		(c) Are safeguards in place to verify telephone inquiries price	or to disclosure?		✓ Yes	☐ No
	(2)	Does each person that is designated to release information r Record Information Release Log?	naintain a CHP 2	63B, Criminal Offender	√ Yes	☐ No
		(a) Are entries maintained for the prescribed period of time?	>		✓ Yes	☐ No
	SCAL	PROCEDURES	EVALUATED Yes	ACTION REQUIRED	CORRECTED	
a.	Hav	e discrepancies on the most current audit reports been correc	cted?	1,	√ Yes	☐ No

## AREA MANAGEMENT EVALUATION

#### **OFFICE MANAGEMENT**

_				
-	(1)	Are all change fund and collections handled and processed according to policy?	☑ Yes	☐ No
		(a) Are counter receipts and DL45s, California Special Driver's Certificate, issued to the field accounted for and safeguarded?	☑ Yes	□ No
		(b) Are "voided" or "no fee" DL45s marked as such, signed by the commander, and forwarded to Fiscal Management Section?	☑ Yes	☐ No
		(c) Is there a separation of duties between cashier responsibilities and transmittal of collections?	✓ Yes	☐ No
		(d) Are collections and change funds safeguarded?	☑ Yes	☐ No
		(e) Are checks promptly endorsed and cash receipts reconciled daily?	☑ Yes	☐ No
		(f) Are counter receipts and DL45s that are issued in sequence accounted for and returned to Fiscal Management Section upon completion?	✓ Yes	☐ No
		(g) What specific guidelines are in place for security control and accountability? The OSS-II keeps the	nem up to date	e and
		secures them under lock and key in a locked room every evening.		
		(h) Is a supervisor responsible for review of the system?	√ Yes	☐ No
		(i) Do total collections agree with the total amount of counter receipts and DL45s issued?	√ Yes	☐ No
		(j) Are counter receipts and transmittal records prepared properly?	☑ Yes	☐ No
		(k) Are surprise counts of funds performed and documented by the commander or designee?	✓ Yes	☐ No
	(2)	Are security and accountability procedures in place for the petty cash fund?	√ Yes	☐ No
		(a) Is the petty cash fund used only for authorized purchases within the limited amount?	√ Yes	☐ No
		(b) Are valid authorizations on file?	✓ Yes	☐ No
		(c) Is a Disbursement Voucher (Std. 439) completed and signed by the commander when the receipt does not show the vendor name or item purchased?	☑ Yes	□ No
		d) Are there adequate procedures to ensure purchases are properly authorized?	√ Yes	☐ No
		e) Are surprise counts performed by someone not involved in handling the petty cash fund?	√ Yes	☐ No
	(3)	Are X-Number services proper and within departmental and state policy?	✓ Yes	☐ No
		a) Are services procured over \$4,999.99?	☐ Yes	☑ No
		b) Is the amount limit circumvented by splitting procurements?	☐ Yes	☑ No
		c) Are three price quotations obtained and documented on a CHP 78X, X-Number Request?	✓ Yes	☐ No
	(	d) Do invoices itemize charges and reference X-Numbers?	✓ Yes	☐ No
	(4)	are bank cards adequately safeguarded, and purchases reviewed by a supervisor?	✓ Yes	☐ No
	(	a) Are cardholders familiar with the bank card process, including prohibited and restricted items?	☑ Yes	☐ No
	(	b) Are purchases within established policy?	✓ Yes	☐ No
	(	c) Are three price quotations obtained and documented on a CHP 315X?	☑ Yes	☐ No
	(	d) Is the bank card log completed properly?	☑ Yes	☐ No

### **AREA MANAGEMENT EVALUATION**

#### **OFFICE MANAGEMENT**

_							
-	_	(e)	Are invoices and CHP 317, CAL-Card Log, reviewed by	y a supervisor?		√ Yes	☐ No
		(f)	Is there a reconciliation of the monthly bank card state	ment, and does it have	supervisory approval?	☑ Yes	☐ No
	b. W	hat co	ontrols does the commander have in place to ensure time	nely transmittals of mon	ies? Randon	checks are	conducted
	by	the I	.t.				
	(1)	Are \$10	collections sent to Fiscal Management Section at the fi ,000 total collections, or at the close of business each T	rst occurrence of \$1,00 hursday?	0 in cash and	√ Yes	□ No
	(2)	Are evic	monies received for DL45s, California Special Driver's lence, etc., handled appropriately by coordinating transl	Certificate, asset forfeit mittal with the Area cas	ure, reimbursables, hier?	√ Yes	☐ No
	(3)	Are	"no collection" transmittals sent when appropriate?			☑ Yes	☐ No
	(4)	Do	tire sale transactions comply with policy?	3		√ Yes	□ No
(	c. Is s	securi	ty of the postage machine adequate?			☑ Yes	☐ No
	(1)	ls th	ne machine locked when not in use?			✓ Yes	☐ No
	(2)	ls th	ne meter reading documented as required?			☑ Yes	☐ No
	(3)	is th	ere documentation of monies refunded or forwarded to age machine is being repaired or replaced?	Fiscal Management Se	ction when the	✓ Yes	☐ No
5 "	UPPL	Y RE	QUISITIONS (CHP 41)	EVALUATED Yes	ACTION REQUIRED	CORRECTED	
а	ı. Are	requ	isitions prepared properly?	1.00	110	✓ Yes	☐ No
	(1)	Who	prepares them? OSS-II				
	(2)	Has	a practical stock level been established and maintained	1?		✓ Yes	☐ No
	(3)	ls th	ere a system that notifies the staff when the quarterly re	equisition is going to be	prepared?	√ Yes	☐ No
		(a)	ls the quarterly requisition period for this command adh	ered to?		√ Yes	☐ No
		(b)	Is there a high number of emergency requisitions?			☐ Yes	☑ No
b	. Are	items	s stored properly in a storeroom?			☑ Yes	☐ No
	(1)	Is the	ere convenient access for regularly used items?			√ Yes	☐ No
	(2)	Have	obsolete items been removed?			√ Yes	☐ No
. s	UPPL	IES		Yes Yes	ACTION REQUIRED No	CORRECTED	
a.	Are	all ca	meras assigned to the command accounted for?			✓ Yes	☐ No
	(1)	Are c	amera cases clean and do they contain the required ac	cessories?		✓ Yes	☐ No
	(2)	ls cai	mera maintenance assigned to a particular individual?			☑ Yes	☐ No
		(a) \	What is his/her preventative maintenance schedule?	Conducted by the Ir	ventory control officer a	and administr	ative Sgt.
		(	on an as-needed basis.				
b.	Are a	all ext	enders assigned to the command accounted for?			☑ Yes	☐ No

#### **AREA MANAGEMENT EVALUATION**

#### **OFFICE MANAGEMENT**

	(1	Is there adequate security for extender batteries and other s	upplies?		√ Yes	☐ No
7. 0	FFI	ICE EQUIPMENT	EVALUATED Yes	ACTION REQUIRED No	CORRECTED	
а	. А	are office machines in good condition and properly maintained?		1,000	√ Yes	☐ No
	(1	1) Is the vendor complying with maintenance contract provision	ns?		√ Yes	☐ No
	(2	2) Is there a shortage or surplus of machines?			☐ Yes	☑ No
b	. Is	s the Management Information System (MIS) used properly?			√ Yes	☐ No
	(1	) Who is authorized to use the equipment? OSS-II, Area M	lanagement, OT	/arrest clerk		
				-		
	(2	How is training provided, and by whom?     OSS-II				
	(3	s) Is there a usage schedule for uniformed and nonuniformed p	ersonnel?		√ Yes	☐ No
	(4	) Are there controls in place to ensure confidentiality?			√ Yes	☐ No
	(5	) Are all personnel aware of how to request repairs after normal	al business hour	s?	√ Yes	☐ No
	(6	) Is the MIS used to send messages to other offices in lieu of f	ormal memoran	dums?	√ Yes	☐ No
	(7)	) What system is used to ensure proper routing of MIS informa	ation? OSS-II e	nsures that they are routed	properly.	
	Ar	e personal computers used properly?			☐ Yes	☐ No
	(1)	) Who is authorized to use the equipment?				
	(2)	How is training provided, and by whom?				
		(a) How many employees are trained in its use?				
	(3)	Are there restrictions on the time its used?			Yes	□ No
		(a) Is there a schedule for uniformed and nonuniformed emp	oloyees?		☐ Yes	☐ No
	(4)	Is confidential or sensitive information being stored on a PC h	nard drive?		☐ Yes	□ No
		(a) If so, is the PC password protected?			☐ Yes	☐ No
		(b) Is confidential or sensitive information stored on disks, C secure area?	Ds, or removable	e drives kept in a	☐ Yes	☐ No
	(5)	What is the PC being used for?				
	(6)	Are controls present to prevent inappropriate/personal use of	the computer?		☐ Yes	☐ No

#### AREA MANAGEMENT EVALUATION

#### **OFFICE MANAGEMENT**

(7) Are backup procedures being performed on a re	egular basis?		☐ Yes	☐ No
(a) Where applicable, are backup disks stored	in a secure area?		Yes	☐ No
(8) Are PC manuals and other documentation avails	able to all users?		☐ Yes	☐ No
(9) What procedures are in place to ensure out-of-o	late documents and files are	purged?		
(10) Are employees aware of the availability of assist	ance in resolving computer r	elated problems?	√ Yes	□ No
(11) Is anti-virus software regularly utilized on all stat	e-owned PCs?		√ Yes	☐ No
8. PUBLIC CONTACTS	Yes	ACTION REQUIRED	CORRECTED	
a. Does the office have extended office hours?			☐ Yes	✓ No
(1) If so, are they adequate and effective?			☐ Yes	☐ No
b. Are persons served promptly and courteously?			<b></b> ✓ Yes	☐ No
(1) Are backup personnel immediately available?			√ Yes	☐ No
(2) Is telephone service both efficient and effective?			√ Yes	☐ No
(3) Are limited duty personnel used for receptionist of	duties and answering telepho	nes?	√ Yes	□ No
(4) Are officer substitutions for nonuniformed position	ns kept at a minimum?		☐ Yes	<b></b> ✓ No
9. SCHOOL BUS DRIVER EXAMINATIONS	EVALUATED Yes	ACTION REQUIRED	CORRECTED	
a. Is school bus driver testing a special duty or a clerica	I function, or is a full-time sch			
assigned? Officer Paul Martinez serves as a full-ti	me coordinator.			
			(	
(1) Are tests and test keys kept in a secure place?			✓ Yes	∐ No
(2) How are interested parties advised of testing pro	cedures? Interested part	ies are advised at meeting	s by the school b	ous
companies.				
(a) A 1 1 1 1 1				
(a) Are exams graded in the presence of the ap			✓ Yes	□ No
(b) Does the officer or coordinator take possess	ion of the test and dispose of	f accordingly?	✓ Yes	□ No
(3) How are test disposed of? shredded				
(4) Is there a specific date and time set aside for test	ing?		✓ Yes	☐ No
	EVALUATED	ACTION REQUIRED	CORRECTED	L NO
OURT INFORMATION PROCEDURES	Yes	No		
a. Is there a systematic method of coordinating court applications	pearance matters?		✓ Yes	☐ No

#### AREA MANAGEMENT EVALUATION

#### **OFFICE MANAGEMENT**

CHP 453E (Rev. 5-06) OPI 009

	- 11101	. 3-00) 01 1 009					
(1	I) Wh	nat controls are in place to ensure officers app	ear in court?	The Area has to	wo officers assigned	to this task. All	court
	ap	What controls are in place to ensure officers appear in court? The Area has two officers assigned to appearances are kept in a log book. Officers who miss court or have their appearance cancelled are notificial is made in the log book.  (a) How are appearances minimized following cancellations? see above  (b) How are "short notice" cancellations minimized? see above  Are CHP 90s, Report of Court Appearance - Civil Action, properly distributed and completed on all appropriate cases?  Who is responsible for managing the process? The office assistant in charge of subpoena control.  (a) Are court officers performing duties that could be handled by clerical personnel?  RTMENTAL MANUALS  PARE OFFICE ACTION REQUIRED Yes  No  Action Required Yes  No  Manuals are not loaned.  Are the libraries convenient for those who must use them?  (a) What controls are in place for "loaning" manuals to employees? Manuals are not loaned.  Are publications distinctively marked so they can be readily identified?  (a) Are the number of libraries excessive or sufficient? excessive  (b) Is there a listing available of what should be in each library?  Are publications kept up-to-date?  Who files publication changes? The OSS-II performs this task.  Is currently completing her probationary period at the position. The Administrative Lt. advised me that show position thus far. The Lt. also stated that the promotional process for non-uniformed personnel is discurted to far none of the employees have expressed any interest in the process.  advised me that none of her clerical staff used personal computers at their work stations. I did not observe	tified by phone a	nd an ent			
	is 1	nade in the log book.					
	(a)	How are appearances minimized following of	:ancellations?	see above			
	(b)	How are "short notice" cancellations minimiz	ted? see a	bove			
	\	CUD 00a Baradaf 0					
(2	app	ropriate cases?	Action, properl	y distributed and co	ompleted on all	√ Yes	☐ No
(3	) Wh	o is responsible for managing the process?	The office	assistant in charge	of subpoena contro	1.	-
	(a)	Are court officers performing duties that coul	d be handled by	y clerical personnel	?	Yes	<b>√</b> No
1. DEP	ARTM	ENTAL MANUALS			THE STATE OF STREET STREET STREET STREET	CORRECTED	
Ar	e the r	number of authorized libraries being maintaine			1.0	✓ Yes	☐ No
(1)	Are	the libraries convenient for those who must us	se them?			✓ Yes	□ No
	(a)	What controls are in place for "loaning" manu	uals to employe	es? Manua	ls are not loaned.		
(2)	Are	oublications distinctively marked so they can l	be readily ident	ified?		✓ Yes	☐ No
	(a)	Are the number of libraries excessive or suffic	cient? excessi	ve			
	(b)	Is there a listing available of what should be i	n each library?			✓ Yes	☐ No
(3)	Are p	publications kept up-to-date?				√ Yes	☐ No
(4)	Who	files publication changes? The OSS	-II performs thi	s task.			
he OSS-l	II is cu	irrently completing her probationary period a	it the position.	The Administrative	Lt. advised me tha	t she has done a	respectab
					•		
			•	_	ions. I did not obse	rve any during m	ıv

inspection.

# AREA MANAGEMENT EVALUATION OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

AREA	DIVISION	NUMBER
590	Southern	
EVALUATED BY		DATE
Officer Joshua	Kolstad	07/08/2008

TRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box. If this is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed on the CHP 454, Area Management Evaluation Supplement. The Supplement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Supplement can be handwritten if desired.

TYPE OF EVALUATION  Informal Evaluation		SUSPENSE DATE				
	IP REQUIRED	Correction Report	COMMANDER'S REVIE	COMMANDER'S REVIEW		***************************************
	RICAL TASKS		EVALUATED Yes	ACTION REQUIRED Yes	CORRECTED Yes	
a. Is	s the office well organized?	)	1103	100	√ Yes	☐ No
(1	Are there written job de	escriptions?	***************************************		☑ Yes	 ☐ No
	(a) Does clerical staff	have their job description at the	eir desk?	- Transaction (Assert Laboration Control	✓ Yes	□ No
	(b) Does clerical staff	understand what is expected o	f them?		✓ Yes	□ No
(2	2) Are similar activities gro	ouped together to promote effic	siency?		☑ Yes	 □ No
(3	B) If tape recorders are us	ed, can clerical employees trar	nscribe effectively?		☐ Yes	☑ No
(4) Is the clerical staff knowledgeable in the use of personal computers, filing requirements, information security, etc.?					☑ Yes	□ No
(5	(5) Can another clerical employee assume the duties of a clerical employee who is absent?				☑ Yes	□ No
b. Is	the Office Services Super	visor (OSS) effective?			☑ Yes	□ No
(1	(1) Does he/she properly apply management philosophies and supervisory skills?				☑ Yes	□ No
	(a) Does he/she have	the authority and backing nece	ssary to effectively sup-	ervise subordinates?	☑ Yes	☐ No
	(b) Is the clerical supe	rvisor an effective manager?			✓ Yes	□ No
(2	) Does the OSS identify e	employes with supervisory pote	ntial?		√ Yes	□ No
	(a) Does he/she assist development?	employees in the preparation	of written plans for prog	ressive career	☐ Yes	☑ No
	(b) Have special intere been afforded the e	sts been identified and educati imployees?	ional opportunities and/	or departmental training	☑ Yes	□ No
		ndividual Development Plan fo ed to identify particular strengt		ice of Permanent	☐ Yes	☑ No
(3)	Does the supervisor set	a good example?			☑ Yes	☐ No
	(a) Does he/she show	a willingness to assist subordir	nate personnel?		☑ Yes	☐ No
0 7/11 - 00 - 10	(b) Does he/she know	when to act, when to delegate,	and when to refer to a	supervisor?	☑ Yes	☐ No
(4)	If there is more than one	OSS, is the work and supervis	sion evenly distributed?		☑ Yes	□ No
(5)	Does the OSS participat	e in Area staff meetings?			☑ Yes	□ No

### **AREA MANAGEMENT EVALUATION**

#### OFFICE MANAGEMENT

			THE RESERVE AND ADDRESS OF THE PARTY OF THE PARTY.	
ILING SYSTEM	Yes Yes	ACTION REQUIRED No	CORRECTED	
a. Is the Area's filing system in compliance with departmental guid File Guide?	elines contained in HP	3 11.1, Field Office	☑ Yes	☐ No
b. Are other files, i.e., permanent files, enforcement document files	s, etc., maintained acco	rding to policy?	☑ Yes	☐ No
(1) How far back are accident reports being maintained? 48 m	nonths		water the control of	2.0 - 41 - 51 - 51
(2) Is there a filing backlog?			☐ Yes	☑ No
(3) Is there evidence of recent office review?			√ Yes	☐ No
(4) How are Management and All Commanders Memorandums	Current MMs are i	filed by OSS-II	(D.	
Morelli). MMs are shredded after the expiration date.				
(5) Are Training and Information Bulletins filed?			☑ Yes	☐ No
(a) If so, how are they located? They are stored in	desk.			
(6) Do all clerical employees understand the filing system?			☑ Yes	□ No
(7) Does the Area have an effective suspense system?	***		☑ Yes	□ No
(a) Do all supervisors take advantage of the suspense syst	☑ Yes	☐ No		
. Are personnel files properly secured and access limited?			☑ Yes	☐ No
(1) Are the requirements of the Information Practices Act being	followed?		☑ Yes	☐ No
(2) Is a periodic review done on a regular basis?		☑ Yes	☐ No	
(a) if so, how often? monthly				
(3) Is annual employee review and updating conducted as requi	ired?		☑ Yes	□ No
(4) Are only required or permitted items contained in personnel	folders?		☑ Yes	☐ No
3. SECURITY OF CRIMINAL RECORDS	evaluated Yes	No REQUIRED	CORRECTED	
<ul> <li>Have employees who have access to criminal offender record inf stating they understand the regulations and policies pertaining to</li> </ul>	formation signed an act these records?	knowledgment	☑ Yes	☐ No
(1) Has the Area designated a specific person to release crimina	al offender record inform	nation?	☑ Yes	□ No
(a) Do any other persons release this information?			☑ Yes	☐ No
(b) Has the designated person completed the required train	ing?		☑ Yes	☐ No
(c) Are safeguards in place to verify telephone inquiries prior	or to disclosure?		☑ Yes	☐ No
(2) Does each person that is designated to release information r Record Information Release Log?	maintain a CHP 263B, 0	Oriminal Offender	☑ Yes	□No
(a) Are entries maintained for the prescribed period of time?	?		☑ Yes	☐ No
FISCAL PROCEDURES	evaluated Yes	ACTION REQUIRED NO	CORRECTED	
a. Have discrepancies on the most current audit reports been correct	oted?		☑ Yes	□ No

### AREA MANAGEMENT EVALUATION

### OFFICE MANAGEMENT

-					Annual Control of the
	(1)	Аге	all change fund and collections handled and processed according to policy?	☑ Yes	□ No
		(a)	Are counter receipts and DL45s, California Special Driver's Certificate, issued to the field accounted for and safeguarded?	☑ Yes	□ No
			Are "voided" or "no fee" DL45s marked as such, signed by the commander, and forwarded to Fiscal Management Section?	☑ Yes	□ No
		(c)	Is there a separation of duties between cashier responsibilities and transmittal of collections?	☑ Yes	□ No
		(d)	Are collections and change funds safeguarded?	☑ Yes	☐ No
_		(e)	Are checks promptly endorsed and cash receipts reconciled daily?	☑ Yes	□No
		(f) t	Are counter receipts and DL45s that are issued in sequence accounted for and returned to Fiscal Management Section upon completion?	☑ Yes	☐ No
1200		(g) '	What specific guidelines are in place for security control and accountability? All DL 45s and coun	ter receipts are	kept in a
-			locked cabinet. There are only 3 people with access to the locked cabinetthe OSS-I and OSS-II and	the office tech	who
-1102	and formal lab Track	,	works in the records department.		
_	Najaraa II waxa	(h) l	ls a supervisor responsible for review of the system?	☑ Yes	□ No
		(i) D	Oo total collections agree with the total amount of counter receipts and DL45s issued?	☑ Yes	□ No
_		(j) A	are counter receipts and transmittal records prepared properly?	☑ Yes	□ No
		(k) <i>A</i>	Are surprise counts of funds performed and documented by the commander or designee?	☑ Yes	□ No
	(2)	Are s	ecurity and accountability procedures in place for the petty cash fund?	☑ Yes	□No
		(a) I	s the petty cash fund used only for authorized purchases within the limited amount?	☑ Yes	□ No
		(b) A	Are valid authorizations on file?	☑ Yes	□ No
	(	(c) Is	s a Disbursement Voucher (Std. 439) completed and signed by the commander when the eceipt does not show the vendor name or item purchased?	☑ Yes	□No
	(	(d) A	Are there adequate procedures to ensure purchases are properly authorized?	☑ Yes	☐ No
	(	(e) A	Are surprise counts performed by someone not involved in handling the petty cash fund?	☑ Yes	☐ No
	(3) A	Are X-	-Number services proper and within departmental and state policy?	☑ Yes	☐ No
	(	a) A	are services procured over \$4,999.99?	Yes	☑ No
	(	b) Is	s the amount limit circumvented by splitting procurements?	Yes	☑ No
	(	c) A	re three price quotations obtained and documented on a CHP 78X, X-Number Request?	☑ Yes	□ No
	(	d) D	o invoices itemize charges and reference X-Numbers?	☑ Yes	□ No
	(4) A	Are ba	ank cards adequately safeguarded, and purchases reviewed by a supervisor?	✓ Yes	□ No
	(;	a) A	re cardholders familiar with the bank card process, including prohibited and restricted items?	✓ Yes	☐ No
	(	b) A	re purchases within established policy?	☑ Yes	☐ No
	(0	c) Aı	re three price quotations obtained and documented on a CHP 315X?	☑ Yes	□ No
	((	d) Is	the bank card log completed properly?	☑ Yes	☐ No
				rescause and U.S. See	With Target and

## AREA MANAGEMENT EVALUATION

### OFFICE MANAGEMENT

-								
			(e)	Are invoices and CHP 317, CAL-Card Log, reviewed by	by a supervisor?		☑ Yes	☐ No
-	*(		(f)	Is there a reconciliation of the monthly bank card state	ment, and does it have	supervisory approval?	☑ Yes	☐ No
_	b	. W	hat co	ontrols does the commander have in place to ensure tim	nely transmittals of mon	ies? The OS	SS-II complete	es all
1		m	oney t	ransmittals on a weekly basis. Each transmittal is then	reviewed by the Area C	commander for approval.	A copy of ea	ach is kept
		by	the o	ffice technician.			Allies	
-		(1)	\$10	☑ Yes	□ No			
_		(2)	☑ Yes	□ No				
		(3)	Are	"no collection" transmittals sent when appropriate?		WOUND POSSESSES	☑ Yes	☐ No
		(4)	Do t	rire sale transactions comply with policy?			☑ Yes	□ No
	c.	ls	☑ Yes	□ No				
		(1)	☑ Yes	□ No				
_		(2)	Is th	e meter reading documented as required?			☑ Yes	□ No
		(3) Is there documentation of monies refunded or forwarded to Fiscal Management Section when the postage machine is being repaired or replaced?						□No
F	SL	JPPI	Y RE	QUISITIONS (CHP 41)	Yes Yes	NO REQUIRED	CORRECTED	
	а.	Are	requi	sitions prepared properly?			☑ Yes	□ No
		(1)	Who	prepares them? OSS-II with the assistance of an office	ce tech.			
		(2)	Has	a practical stock level been established and maintained	1?		☑ Yes	□ No
		(3)	Is the	ere a system that notifies the staff when the quarterly re	equisition is going to be	prepared?	☑ Yes	□ No
			(a)	ls the quarterly requisition period for this command adh	ered to?		☑ Yes	☐ No
			(b)	Is there a high number of emergency requisitions?			☐ Yes	☑ No
	b.	Are	items	stored properly in a storeroom?			☑ Yes	□ No
		(1)	Is the	ere convenient access for regularly used items?			☑ Yes	☐ No
		(2)	Have	obsolete items been removed?			☑ Yes	□ No
6.	SU	PPL	IES		Yes Yes	No REQUIRED	CORRECTED	
	а.	Аге	all ca	meras assigned to the command accounted for?			☑ Yes	□ No
		(1)	Are c	amera cases clean and do they contain the required ac	ccessories?		☑ Yes	☐ No
		(2)	Is car	mera maintenance assigned to a particular individual?			√ Yes	□No
	,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,		(a) \	What is his/her preventative maintenance schedule?	There is no prevent	ative maintenance sched	ule for the can	meras.
	):		]	However, there is a contract in place to fix the cameras	should one become de	fective.		
	b.	Аге	all ext	enders assigned to the command accounted for?			☑ Yes	□ No
	-		-					

#### AREA MANAGEMENT EVALUATION

### OFFICE MANAGEMENT

Is there adequate security for extender be	✓ Yes	☐ No			
TICE EQUIPMENT		Yes Yes	ACTION REQUIRED NO	CORRECTED	
Are office machines in good condition and pro	perly maintaine	ed?		☑ Yes	☐ No
1) Is the vendor complying with maintenance	e contract provi	sions?	15	☑ Yes	☐ No
2) Is there a shortage or surplus of machine	s?			√ Yes	□ No
s the Management Information System (MIS)	used properly?			√ Yes	☐ No
1) Who is authorized to use the equipment?	Manageme	nt, Supervisors, OSS-	I and OSS-II, and one Off	lice Tech.	
2) How is training provided, and by whom?	Training is	provided through fiel	d support.		
3) Is there a usage schedule for uniformed a	nd nonuniforme	ed personnel?		Yes	✓ No
4) Are there controls in place to ensure confi	☑ Yes	No			
(5) Are all personnel aware of how to request repairs after normal business hours?					
s) Is the MIS used to send messages to othe	☐ Yes	✓ No			
) What system is used to ensure proper rou	ting of MIS info	rmation? The OSS-I	I ensures that the MIS is:	routed properly.	
re personal computers used properly?				☐ Yes	☑ No
) Who is authorized to use the equipment?	No pers	sonal computers are u	sed.		
	1)		**************************************	····	
) How is training provided, and by whom?	n/a			**************************************	
(a) How many employees are trained in it	s use? n/a				
**************************************				☐ Yes	
	nonuniformed (	emplovees?			✓ No
			THE WATER CONTRACTOR OF THE STATE OF THE STA		✓ No
(a) If so, is the PC password protected?					□ No
(b) Is confidential or sensitive information secure area?	stored on disks	s, CDs, or removable	drives kept in a		
What is the PC being used for? n/s	a				
The state of the s	HIII WALLE	The section was a supposed to			
	Are office machines in good condition and prost the Management Information System (MIS)  Who is authorized to use the equipment?  How is training provided, and by whom?  Is the MIS used to send messages to other  What system is used to ensure proper rouse personal computers used properly?  Who is authorized to use the equipment?  What is training provided, and by whom?  What system is used to ensure proper rouse personal computers used properly?  Who is authorized to use the equipment?  Who is authorized to use the equipment?  Who is authorized to use the equipment?  How is training provided, and by whom?  (a) How many employees are trained in it Are there restrictions on the time its used?  (a) Is there a schedule for uniformed and Is confidential or sensitive information bein secure area?	The office machines in good condition and properly maintained of the vendor complying with maintenance contract provided. Is there a shortage or surplus of machines?  Is the Management Information System (MIS) used properly?  Who is authorized to use the equipment? Management of the management of th	ICE EQUIPMENT    Sevaluated Yes	The provided through field support.    Sevaluated Yes   No   No   No   No   No   No   No   N	In the real personnel aware of how to request repairs after normal business hours?  If the His used to send messages to other offices in lieu of formal memorandums?  What system is used to ensure proper routing of MIS information?  What system is used to ensure proper routing of MIS information?  Who is authorized to use the equipment?  Are there restrictions on the time its used?  Who is training provided, and by whom?  Training is provided through field support.  Are there restrictions on the time its used?  (a) How many employees are trained in its user?  (b) Is there a sconfidential or sensitive information stored on disks, CDs, or removable drives kept in a secure area?

#### AREA MANAGEMENT EVALUATION

#### OFFICE MANAGEMENT

(7) Are backup procedures being performed on	☑ Yes	☐ No					
(a) Where applicable, are backup disks stor	ed in a secure area?	V 2 - 100 -	☑ Yes	☐ No			
(8) Are PC manuals and other documentation av	ailable to all users?		☑ Yes	□ No			
(9) What procedures are in place to ensure out-	of-date documents and files are	purged? Bi-annually	an announcemen	t and			
briefing item are put forth. If there is no resp	onse the out-of-date documents	s and files are purged.					
				Cara De Maria III de 1900 de 1			
(10) Are employees aware of the availability of ass	sistance In resolving computer i	related problems?	☑ Yes	□ No			
(11) Is anti-virus software regularly utilized on all s	state-owned PCs?		☑ Yes	☐ No			
8. PUBLIC CONTACTS	CORRECTED						
a. Does the office have extended office hours?	☐ Yes	☑ No					
(1) If so, are they adequate and effective?			☐ Yes	□ No			
b. Are persons served promptly and courteously?			☑ Yes	□ No			
(1) Are backup personnel immediately available?	☑ Yes	□No					
(2) Is telephone service both efficient and effective	☑ Yes	□ No					
(3) Are limited duty personnel used for receptioni	√ Yes	☐ No					
(4) Are officer substitutions for nonuniformed pos	itions kept at a minimum?		☑ Yes	□ No			
9. SCHOOL BUS DRIVER EXAMINATIONS	Yes	NO REQUIRED	CORRECTED				
a. Is school bus driver testing a special duty or a cler assigned? Full-time coordinator.	ical function, or is a full-time sci	hool bus coordinator					
(1) Are tests and test keys kept in a secure place	?		☑ Yes	□ No			
(2) How are interested parties advised of testing p	procedures? The test is sch	neduled ahead of time on pr		tes.			
(a) Are exams graded in the presence of the	applicant, and missed question	s discussed?	☑ Yes	□ No			
(b) Does the officer or coordinator take posse	ession of the test and dispose o	f accordingly?	☑ Yes	□ No			
(3) How are test disposed of? They are shred	ded.						
		### 10 HOURS   10 HOUR		***************************************			
			AVECUAL VALUE CONTRACTOR	- A			
(4) Is there a specific date and time set aside for t	esting?		☑ Yes	□ No			
COURT INFORMATION PROCEDURES	FVALUATED ACTION REQUIRED						
	Yes						
a. Is there a systematic method of coordinating court		1 65	✓ Yes	☐ No			

## AREA MANAGEMENT EVALUATION

### OFFICE MANAGEMENT

		ATTICATE AND ADMINISTRATION OF THE PARTY AND ADMINISTRATION OF THE PARTY.				
(1)	What controls are in place to ensure of	officers appear in cou	rt? The court liaise	on officer completes	a court attendan	ce log and
	subpoena log. If there are any officer	s who miss their sche	eduled court appearance	she notifies the adm	inistrative sgt. T	he admin.
	sgt. in turn notifies the individual's im	mediate supervisor for	or corrective action.			
and the same of th	(a) How are appearances minimized	following cancellation	ns? The court liais	son officer establishe	es a list of "neede	d" officers
	and monitors the DA/CA subpoe	na list. She calls offi	cers immediately if their	case is continued or	r cancelled,	
	(b) How are "short notice" cancellation	ns minimized?	See above.			
				all a		
(2)	Are CHP 90s, Report of Court Appears appropriate cases?	ance - Civil Action, pr	operly distributed and co	ompleted on all	☐ Yes	☑ No
(3)	Who is responsible for managing the p	rocess? Supp	ort Staff member D. Har	rker (A14009) has th	nis responsibility	of
	overseeing the CHP 90s.			1		
	(a) Are court officers performing dutie	s that could be hand	led by clerical personnel	?	☐ Yes	☑ No
11. DEPA	1. DEPARTMENTAL MANUALS  EVALUATED ACTION REQUIRED Yes No					**********
٦. Are t	the number of authorized libraries being	maintained?			☑ Yes	☐ No
(1)	Are the libraries convenient for those w	ho must use them?			☑ Yes	☐ No
	(a) What controls are in place for "loa	ning" manuals to em	ployees? The en	aployee signs out for	r the manual	
		1145 W	100 to 100 100 100 100 100 100 100 100 100 10			
(2)	Are publications distinctively marked so	they can be readily	identified?		☑ Yes	□ No
(	a) Are the number of libraries excess	ive or sufficient? su	fficient	103100.000		
(	b) Is there a listing available of what s	should be in each libr	ary?		☑ Yes	☐ No
(3) A	Are publications kept up-to-date?			W	☑ Yes	☐ No
(4) V	Who files publication changes?	The OSS-I has this	responsibility.			
						***
See attached	for action items.				1/	

# AREA MANAGEMENT EVALUATION OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

Castaic Inspection Facility	Southern Division	NUMBER 541
EVALUATED BY	Bountern Division	DATE
Officer B.T. Waughan #17299		07/22/2008

FRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box. If this form is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed on the CHP 454, Area Management Evaluation Supplement. The Supplement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Supplement can be handwritten if desired.

	valuation  mal Evaluation  Info	rmal Evaluation	SUSPENSE DATE			
FOLLOW-U	P REQUIRED  No	Correction Report	COMMANDER'S REVIEW		DATE	
1. CLEI	RICAL TASKS		EVALUATED YES	ACTION REQUIRED NO	CORRECTED N/A	
a. Is	a. Is the office well organized?				√ Yes	☐ No
(1	) Are there written job des	scriptions?	II.		☑ Yes	☐ No
	(a) Does clerical staff h	nave their job description at their de	esk?		√ Yes	☐ No
	(b) Does clerical staff t	understand what is expected of the	m?		√ Yes	☐ No
(2	) Are similar activities gro	uped together to promote efficienc	y?		☑ Yes	☐ No
(3	) If tape recorders are use	ed, can clerical employees transcrit	be effectively?		√ Yes	☐ No
(4	) Is the clerical staff know security, etc.?	ledgeable in the use of personal co	omputers, filing red	quirements, information	√ Yes	□ No
(5) Can another clerical employee assume the duties of a clerical employee who is absent?					√ Yes	☐ No
b. Is the Office Services Supervisor (OSS) effective?					√ Yes	☐ No
(1) Does he/she properly apply management philosophies and supervisory skills?					√ Yes	☐ No
	(a) Does he/she have the	he authority and backing necessar	y to effectively sur	pervise subordinates?	√ Yes	☐ No
	(b) Is the clerical super	visor an effective manager?			√ Yes	☐ No
(2)	Does the OSS identify er	mployes with supervisory potential	?		√ Yes	☐ No
	(a) Does he/she assist development?	employees in the preparation of wr	itten plans for pro	gressive career	√ Yes	□ No
	(b) Have special interest been afforded the er	sts been identified and educational mployees?	opportunities and	or departmental training	✓ Yes	□ No
	• •	ndividual Development Plan for Fut ad to identify particular strengths of		nce of Permanent	√ Yes	□No
(3)	Does the supervisor set a	a good example?			√ Yes	☐ No
	(a) Does he/she show a	willingness to assist subordinate p	personnel?		√ Yes	☐ No
	(b) Does he/she know w	when to act, when to delegate, and	when to refer to a	supervisor?	√ Yes	☐ No
(4)	If there is more than one	OSS, is the work and supervision	evenly distributed	? N/A	☐ Yes	☐ No
(5)	Does the OSS participate	e in Area staff meetings?			√ Yes	□ No

# AREA MANAGEMENT EVALUATION

## **OFFICE MANAGEMENT**

2	LIN	NG SYSTEM	YES EVALUATED	ACTION REQUIRED NO	CORRECTED N/A	
		the Area's filing system in compliance with departmental guid ile Guide?	elines contained in H	PG 11.1, Field Office	√ Yes	□ No
	b. A	re other files, i.e., permanent files, enforcement document files	s, etc., maintained ac	cording to policy?	√ Yes	☐ No
	(1	) How far back are accident reports being maintained? N/A				
	(2	) Is there a filing backlog?			☐ Yes	<b></b> ✓ No
	(3	) Is there evidence of recent office review?			☑ Yes	☐ No
	(4	) How are Management and All Commanders Memorandums	filed and purged?	OSS 1 FILES ANI	D UPDATES FO	OR
		COMMAND.				
	(5	) Are Training and Information Bulletins filed?			√ Yes	☐ No
		(a) If so, how are they located? IN THE MAIN OF	FFICE.			
	(6)	) Do all clerical employees understand the filing system?			√ Yes	☐ No
	(7)	) Does the Area have an effective suspense system?			√ Yes	☐ No
		√ Yes	☐ No			
	Ar	e personnel files properly secured and access limited?			√ Yes	☐ No
2	(1)	Are the requirements of the Information Practices Act being	followed?		√ Yes	☐ No
	(2)	Is a periodic review done on a regular basis?			√ Yes	☐ No
		(a) If so, how often? ANNUALLY.				
	(3)	Is annual employee review and updating conducted as requ	ired?		√ Yes	☐ No
	(4)	Are only required or permitted items contained in personnel	folders?		√ Yes	☐ No
3.	SECU	RITY OF CRIMINAL RECORDS	YES YES	NO NO	CORRECTED N/A	
		ve employees who have access to criminal offender record inf ting they understand the regulations and policies pertaining to		acknowledgment	√ Yes	☐ No
	(1)	Has the Area designated a specific person to release crimina	al offender record inf	ormation?	√ Yes	☐ No
		(a) Do any other persons release this information?	NA		☐ Yes	☑ No
		(b) Has the designated person completed the required train	ning?		√ Yes	☐ No
		(c) Are safeguards in place to verify telephone inquiries prior	or to disclosure?		Yes	☐ No
	(2)	Does each person that is designated to release information r Record Information Release Log?	maintain a CHP 263E	, Criminal Offender	√ Yes	☐ No
		√ Yes	☐ No			
	SCA	L PROCEDURES	YES	NO REQUIRED	CORRECTED N/A	
	a. Hav	ve discrepancies on the most current audit reports been correc	cted?		✓ Yes	□No
_						

## AREA MANAGEMENT EVALUATION

## **OFFICE MANAGEMENT**

		the state of the s		
(1	) An	e all change fund and collections handled and processed according to policy?	☑ Yes	☐ No
	(a)	Are counter receipts and DL45s, California Special Driver's Certificate, issued to the field accounted for and safeguarded?	☑ Yes	☐ No
	(b)	Are "voided" or "no fee" DL45s marked as such, signed by the commander, and forwarded to Fiscal Management Section?	☑ Yes	☐ No
	(c)	Is there a separation of duties between cashier responsibilities and transmittal of collections?	<b></b> ✓ Yes	☐ No
	(d)	Are collections and change funds safeguarded?	☑ Yes	☐ No
	(e)	Are checks promptly endorsed and cash receipts reconciled daily?	☑ Yes	☐ No
	(f)	Are counter receipts and DL45s that are issued in sequence accounted for and returned to Fiscal Management Section upon completion?	✓ Yes	□No
	(g)	What specific guidelines are in place for security control and accountability? RECEIPTS AND CO	LLECTIONS	ARE
		LOCKED IN OSS 1 DESK.		
	(h)	Is a supervisor responsible for review of the system?	☑ Yes	☐ No
	(i)	Do total collections agree with the total amount of counter receipts and DL45s issued?	☑ Yes	☐ No
	(j)	Are counter receipts and transmittal records prepared properly?	✓ Yes	☐ No
	(k)	Are surprise counts of funds performed and documented by the commander or designee?	✓ Yes	□ No
(2)	Are	security and accountability procedures in place for the petty cash fund?	☑ Yes	☐ No
	(a)	Is the petty cash fund used only for authorized purchases within the limited amount?	☑ Yes	☐ No
	(b)	Are valid authorizations on file?	☑ Yes	☐ No
	(c)	Is a Disbursement Voucher (Std. 439) completed and signed by the commander when the receipt does not show the vendor name or item purchased?	☑ Yes	☐ No
	(d)	Are there adequate procedures to ensure purchases are properly authorized?	☑ Yes	☐ No
	(e)	Are surprise counts performed by someone not involved in handling the petty cash fund?	√ Yes	☐ No
(3)	Are	X-Number services proper and within departmental and state policy?	√ Yes	☐ No
	(a)	Are services procured over \$4,999.99?	☐ Yes	<b>√</b> No
	(b)	Is the amount limit circumvented by splitting procurements?	☐ Yes	<b>☑</b> No
	(c)	Are three price quotations obtained and documented on a CHP 78X, X-Number Request?	☑ Yes	☐ No
	(d)	Do invoices itemize charges and reference X-Numbers?	√ Yes	☐ No
(4)	Are	bank cards adequately safeguarded, and purchases reviewed by a supervisor?	√ Yes	☐ No
	(a)	Are cardholders familiar with the bank card process, including prohibited and restricted items?	√ Yes	☐ No
	(b)	Are purchases within established policy?	☑ Yes	☐ No
	(c)	Are three price quotations obtained and documented on a CHP 315X?	√ Yes	☐ No
	(d)	is the bank card log completed properly?	√ Yes	☐ No

## **AREA MANAGEMENT EVALUATION**

## **OFFICE MANAGEMENT**

_		(e) Are invoices and CHP 317, CAL-Card Log, reviewed by a supervisor?								✓ Yes	☐ No							
			(	f)	Is the	re a re	concil	iation	of the	month	ly bank c	ard state	ment, and	does it have s	supervisory ap	proval?	✓ Yes	☐ No
	b.	· W	/hai	col	ontrols	does t	he coi	mman	der ha	ive in p	olace to e	nsure tin	nely transm	nittals of moni	es?	CURRE	ENT POLICY	/ IS
		F	OL.	LOV	WED.													
		(1											irst occume Thursday?	ence of \$1,000	) in cash and		✓ Yes	☐ No
		(2												, asset forfeito the Area cash	ıre, reimbursal nier?	oles,	☐ Yes	☐ No
		(3)	) A	re '	"no co	llection	n" tran	smitta	als sen	t wher	appropr	iate?					✓ Yes	☐ No
		(4)	) [	o ti	tire sal	e trans	actior	ıs cor	nply wi	ith poli	cy?	NA					☐ Yes	☐ No
	c.	ls	sec	urit	ty of th	e post	age m	nachin	e ade	quate?							√ Yes	☐ No
		(1)	) Is	the	e mac	hine lo	cked	when	not in	use?							<b></b> ✓ Yes	☐ No
		(2)	ls	the	e mete	er read	ing do	cume	ented a	ıs requ	ired?						<b>✓</b> Yes	☐ No
		(3)				cumen achine						arded to	Fiscal Ma	nagement Se	ction when the		☐ Yes	☐ No
5	~(	JPP	LY	RE	QUISI	TIONS	(CHF	41)					YES		NO NO	D	CORRECTED N/A	
_	a.	Are	е ге	quis	isitions	prepa	red pi	roperl	y?								✓ Yes	☐ No
		(1)	V	/ho	prepa	res the	m?	OSS	1 ANI	OFF	ICE ASS	ISTANT	(O/A)					
		(2)	Н	as a	a prac	tical st	ock le	vel be	en es	tablish	ed and m	naintaine	d?				✓ Yes	☐ No
		(3)	ls	the	ere a s	ystem	that n	otifies	s the s	taff wh	en the qu	arterly re	equisition is	s going to be	prepared?		√ Yes	☐ No
			(a	) l:	Is the	quarte	ly req	uisitio	n peri	od for	this comr	nand adl	nered to?				√ Yes	☐ No
			(b	) l:	ls ther	e a hig	h nun	nber d	f emer	rgency	requisition	ons?					☐ Yes	<b>✓</b> No
	b.	Are	ite	ms	store	d prope	rly in	a sto	reroom	1?							✓ Yes	☐ No
		(1)	ls	the	ere cor	rvenier	nt acc	ess fo	r regu	larly us	sed items	?					√ Yes	☐ No
		(2)	Ha	ave	obsol	ete iter	ns be	en re	moved	?							√ Yes	☐ No
6.	su	_											YES		NO REQUIRE	D	N/A	
_	а.	Are	all	can	meras	assign	ed to	the c	ommai	nd acc	ounted fo	or?					✓ Yes	☐ No
		(1) Are camera cases clean and do they contain the required accessories?						✓ Yes	☐ No									
		(2)	ls	cam	mera n	nainter	ance	assig	ned to	a part	icular ind	lividual?					✓ Yes	☐ No
	-		(a)	W	What is	s his/he	er pre	venta	tive ma	aintena	ance sche	edule?	CHEC	KED BIANN	UALLY.			
	)														177			
	b.	Are	all	exte	enders	s assig	ned to	the o	comma	and ac	counted f	or?					✓ Yes	☐ No
_	_			_														

## AREA MANAGEMENT EVALUATION

## **OFFICE MANAGEMENT**

, j (	1) Is there adequate security for extender ba	atteries and other	supplies?		✓ Yes	☐ No
7. OFF	ICE EQUIPMENT		YES YES	NO NO	N/A	
a. A	are office machines in good condition and pro	√ Yes	☐ No			
('	1) Is the vendor complying with maintenance	e contract provision	ons?		√ Yes	☐ No
(2	2) Is there a shortage or surplus of machine	s?			☐ Yes	<b>√</b> No
b. Is	s the Management Information System (MIS)	used properly?			✓ Yes	☐ No
(1	) Who is authorized to use the equipment?	ALL CLERIC	CAL HAVE ACCE	ESS.		
(2	P) How is training provided, and by whom?	CHP INTRA	NET.			
	() Is there a usage schedule for uniformed a	and nonuniformed	normonnol2	,	☐ Yes	□ No
	s) Is there a usage schedule for uniformed a		personner?	/A	✓ Yes	□ No
	As all personnel support from the support			-0	✓ Yes	
(5						
(6	•				☐ Yes	√ No
_ (7		uting of MIS inform	nation? COMMA	NDER REVIEWS AND F		
	re personal computers used properly?				✓ Yes	☐ No
(1	) Who is authorized to use the equipment?	ALL PER	RSONNEL.			
(2	) How is training provided, and by whom?	MOST O	F THE NEW EMI	PLOYEES WHICH ARE N	NON-UNIFORM	IED ARE
	TRAINED BY MORE SENIOR EMPLO	YEES.				
	(a) How many employees are trained in i	ts use? ALL				
(3)	Are there restrictions on the time its used?	?			☐ Yes	<b>✓</b> No
	(a) Is there a schedule for uniformed and	nonuniformed er	mployees?		☐ Yes	<b>☑</b> No
(4)	Is confidential or sensitive information being	ng stored on a PC	hard drive?		√ Yes	☐ No
	(a) If so, is the PC password protected?				√ Yes	☐ No
	(b) Is confidential or sensitive information secure area?	stored on disks,	CDs, or removable	e drives kept in a	√ Yes	☐ No
(5)	What is the PC being used for?	NSPECTIONS, T	YPING DATA EI	VTRY, ETC.		
1						
(6)	Are controls present to prevent inappropria	ate/personal use	of the computer?		√ Yes	☐ No

## **AREA MANAGEMENT EVALUATION**

## **OFFICE MANAGEMENT**

(7) Are backup procedures being performed on a regu	lar basis?		<b></b> ✓ Yes	□ No
(a) Where applicable, are backup disks stored in	a secure area?		√ Yes	☐ No
(8) Are PC manuals and other documentation available	e to all users?		√ Yes	□ No
(9) What procedures are in place to ensure out-of-date	documents and files are	purged? THE CHP R	ETENTION LIS	T IS
FOLLOWED.				
(10) Are employees aware of the availability of assistan	ce in resolving computer r	related problems?	√ Yes	□ No
(11) Is anti-virus software regularly utilized on all state-o		olded probleme:	✓ Yes	□ No
8. PUBLIC CONTACTS	EVALUATED YES	ACTION REQUIRED NO	CORRECTED N/A	
a. Does the office have extended office hours?			☐ Yes	☑ No
(1) If so, are they adequate and effective?			Yes	☐ No
b. Are persons served promptly and courteously?			√ Yes	☐ No
(1) Are backup personnel immediately available?	√ Yes	☐ No		
(2) Is telephone service both efficient and effective?	√ Yes	☐ No		
(3) Are limited duty personnel used for receptionist duti	<b>√</b> Yes	☐ No		
(4) Are officer substitutions for nonuniformed positions	kept at a minimum?		√ Yes	☐ No
9. SCHOOL BUS DRIVER EXAMINATIONS	YES	ACTION REQUIRED NO	CORRECTED N/A	
a. Is school bus driver testing a special duty or a clerical fu assigned?	nction, or is a full-time scl	nool bus coordinator		
(1) Are tests and test keys kept in a secure place?			☐ Yes	☐ No
(2) How are interested parties advised of testing proceed	lures?			
NA				
(a) Are exams graded in the presence of the applic		s discussed?	☐ Yes	☐ No
(b) Does the officer or coordinator take possession	of the test and dispose o	f accordingly?	☐ Yes	☐ No
(3) How are test disposed of?				
(4) Is there a specific date and time set aside for testing	?		Yes	☐ No
OURT INFORMATION PROCEDURES	YES	NO NO	CORRECTED N/A	
a. Is there a systematic method of coordinating court appear	rance matters?		√ Yes	☐ No

### AREA MANAGEMENT EVALUATION

## **OFFICE MANAGEMENT**

(1	) Wh	nat controls are in place to ensure officers appear in cour	t? SUBPOENA'S	ARE SERVED AND 4	15'S ARE CH	IECKED
	TC	VERIFY ATTENDANCE. IF THERE ARE DISCREP	ANCIES, THE SGT'S	AND COMMANDER A	ARE NOTIFI	ED.
	(a)	How are appearances minimized following cancellation	s? NOTIFICATIO	N BY TELEPHONE IS	3 DONE	
		IMMEDIATELY.				
	(b)	How are "short notice" cancellations minimized?	MMEDIATE NOTIFIC	ATION TO THE OFF	CER.	
(2)		CHP 90s, Report of Court Appearance - Civil Action, propriate cases?	operly distributed and co	mpleted on all	✓ Yes	☐ No
(3)	Wh	o is responsible for managing the process? O/A				
	(a)	Are court officers performing duties that could be handle	ed by clerical personnel	?	☐ Yes	☑ No
11. DEP	ARTM	IENTAL MANUALS	YES	NO REQUIRED	CORRECTED N/A	
Are	the i	number of authorized libraries being maintained?			√ Yes	☐ No
(1)	Are	the libraries convenient for those who must use them?			✓ Yes	☐ No
	(a)	What controls are in place for "loaning" manuals to emp	oloyees? BORR	OWED MANUALS A	RE NOTED I	BY OSS I
(2)	Are	publications distinctively marked so they can be readily i	dentified?		☑ Yes	☐ No
	(a)	Are the number of libraries excessive or sufficient? St	JFFICIENT.			
	(b)	Is there a listing available of what should be in each libra	ary?		✓ Yes	☐ No
(3)	Are	publications kept up-to-date?			√ Yes	☐ No
(4)	Who	files publication changes? OSS I.				

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

EVALUATED BY

DATE

CHP 453E (Rev. 5-06) OPI 009	J. Kolstad #16434	07/15/2008
TRUCTIONS: Indicate items reviewed by placing a chec	ck in the "Evaluated" box and/or the	"Action Required" box. If this
foi is used as a Correction Report, the "Correction" box sh	ould be initialed and dated as defic	iencies are corrected. Answer
individual items with "yes" or "no" answers, or fill in the blank	s as indicated. If additional comme	ents are necessary, the information
can be placed on the CHP 454, Area Management Evaluation	on Supplement. The Supplement si	hould include significant findings.
accomplishments or corrective actions, unresolved items, pr	oblems or progress, and the evalua	ator's overall impressions. This

TYPE OF EV	ALUATION	r pencil, and the Supplement ca	SUSPENSE DATE	i ii desired.		
		rmal Evaluation				
FOLLOW-UP	REQUIRED	Correction Report	COMMANDER'S REVIE	EW	DATE	
Yes	☑ No	BY	_			
1. CLER	ICAL TASKS		Yes	ACTION REQUIRED Yes	CORRECTED Yes	
a. Is	the office well organized?				√ Yes	☐ No
(1)	Are there written job des	scriptions?			√ Yes	☐ No
	(a) Does clerical staff h	nave their job description at their de	esk?		√ Yes	☐ No
	(b) Does clerical staff u	inderstand what is expected of the	m?		√ Yes	☐ No
(2)	Are similar activities gro	√ Yes	☐ No			
(3)	If tape recorders are use	ed, can clerical employees transcri	be effectively?		√ Yes	☐ No
(4)	The state of the s					
	security, etc.?				✓ Yes	□ No
		ployee assume the duties of a cleri	ical employee who	is absent?	√ Yes	□ No
b. Ist	he Office Services Superv	isor (OSS) effective?			✓ Yes	☐ No
(1)	Does he/she properly ap	ply management philosophies and	supervisory skills	?	√ Yes	☐ No
	(a) Does he/she have the	ne authority and backing necessar	y to effectively sup	ervise subordinates?	√ Yes	☐ No
	(b) Is the clerical superv	visor an effective manager?			√ Yes	☐ No
(2)	Does the OSS identify er	nployes with supervisory potential	?		√ Yes	☐ No
	(a) Does he/she assist of development?	employees in the preparation of wr	ritten plans for prog	gressive career	☐ Yes	☑ No
	(b) Have special interes been afforded the en	ts been identified and educational nployees?	opportunities and/	or departmental training	✓ Yes	□No
	(c) Has the CHP 120, In Employee, been use	dividual Development Plan for Fut d to identify particular strengths of	ture Job Performant the employees?	nce of Permanent	☐ Yes	<b>√</b> No
(3)	Does the supervisor set a	good example?			√ Yes	□ No
	(a) Does he/she show a	willingness to assist subordinate p	personnel?		√ Yes	☐ No
	(b) Does he/she know w	hen to act, when to delegate, and	when to refer to a	supervisor?	√ Yes	☐ No
(4)	If there is more than one	OSS, is the work and supervision e	evenly distributed?		☐ Yes	☐ No
(5)	Does the OSS participate	in Area staff meetings?			✓ Yes	☐ No

## **AREA MANAGEMENT EVALUATION**

## **OFFICE MANAGEMENT**

LING S	YSTEM	EVALUATED Yes	ACTION REQUIRED	CORRECTED		
a. Is the File G	Area's filing system in compliance with departmental guide	elines contained in HP	G 11.1, Field Office	√ Yes	☐ No	
b. Are ot	her files, i.e., permanent files, enforcement document files	, etc., maintained acco	ording to policy?	√ Yes	☐ No	
(1) H	ow far back are accident reports being maintained? a rot	ating 48 months				
(2) ls	there a filing backlog?			☐ Yes	☑ No	
(3) ls	there evidence of recent office review?			√ Yes	☐ No	
(4) H	ow are Management and All Commanders Memorandums	filed and purged?	They are kept in th	e Administrativ	e Lt.'s	
o.	ffice and are updated and purged by the Administrative Sg	t.				
(5) Ar	re Training and Information Bulletins filed?			√ Yes	☐ No	
(a	) If so, how are they located? See #4.					
(6) Do	o all clerical employees understand the filing system?			✓ Yes	☐ No	
(7) Do	pes the Area have an effective suspense system?			✓ Yes	☐ No	
(a)	) Do all supervisors take advantage of the suspense syst	em?		√ Yes	☐ No	
Are per	Are personnel files properly secured and access limited?					
(1) Are	e the requirements of the Information Practices Act being	followed?		✓ Yes	☐ No	
(2) Is	a periodic review done on a regular basis?		==	✓ Yes	☐ No	
(a)	If so, how often? A thorough review is done annually.	An additional review	is done bi-annually.			
(3) Is a	annual employee review and updating conducted as requi	red?		√ Yes	☐ No	
(4) Are	e only required or permitted items contained in personnel f	olders?		√ Yes	☐ No	
SECURITY	OF CRIMINAL RECORDS	Yes	ACTION REQUIRED	CORRECTED		
a. Have er stating	mployees who have access to criminal offender record info they understand the regulations and policies pertaining to	ormation signed an acl these records?	knowledgment	√ Yes	☐ No	
(1) Has	s the Area designated a specific person to release crimina	l offender record infor	mation?	√ Yes	☐ No	
(a)	Do any other persons release this information?			☐ Yes	✓ No	
(b)	Has the designated person completed the required training	ng?		√ Yes	☐ No	
(c)	Are safeguards in place to verify telephone inquiries prio	r to disclosure?		√ Yes	☐ No	
	es each person that is designated to release information noticed Information Release Log?	naintain a CHP 263B, (	Criminal Offender	√ Yes	□ No	
(a)	(a) Are entries maintained for the prescribed period of time?					
SCAL PR	CORRECTED					
a. Have dis	screpancies on the most current audit reports been correc	ted?		√ Yes	☐ No	

## AREA MANAGEMENT EVALUATION

# OFFICE MANAGEMENT

_				
_	(1	Are all change fund and collections handled and processed according to policy?	☑ Yes	☐ No
_		(a) Are counter receipts and DL45s, California Special Driver's Certificate, issued to the field accounted for and safeguarded?	√ Yes	☐ No
		(b) Are "voided" or "no fee" DL45s marked as such, signed by the commander, and forwarded to Fiscal Management Section?	☑ Yes	☐ No
		(c) Is there a separation of duties between cashier responsibilities and transmittal of collections?	☑ Yes	☐ No
		(d) Are collections and change funds safeguarded?	√ Yes	☐ No
		(e) Are checks promptly endorsed and cash receipts reconciled daily?	☑ Yes	☐ No
		(f) Are counter receipts and DL45s that are issued in sequence accounted for and returned to Fiscal Management Section upon completion?	☑ Yes	☐ No
		(g) What specific guidelines are in place for security control and accountability? The Area Comma	ander and OSS p	articipate in
		random surprise audits which ensure accuracy and accountability.		
		(h) Is a supervisor responsible for review of the system?	☑ Yes	☐ No
		(i) Do total collections agree with the total amount of counter receipts and DL45s issued?	√ Yes	□ No
		(j) Are counter receipts and transmittal records prepared properly?	√ Yes	☐ No
	-	(k) Are surprise counts of funds performed and documented by the commander or designee?	√ Yes	☐ No
	(2)	Are security and accountability procedures in place for the petty cash fund?	√ Yes	☐ No
		(a) Is the petty cash fund used only for authorized purchases within the limited amount?	√ Yes	☐ No
		(b) Are valid authorizations on file?	☑ Yes	☐ No
		(c) Is a Disbursement Voucher (Std. 439) completed and signed by the commander when the receipt does not show the vendor name or item purchased?	☑ Yes	☐ No
		(d) Are there adequate procedures to ensure purchases are properly authorized?	√ Yes	☐ No
		(e) Are surprise counts performed by someone not involved in handling the petty cash fund?	✓ Yes	□No
	(3)	Are X-Number services proper and within departmental and state policy?	✓ Yes	☐ No
		(a) Are services procured over \$4,999.99?	☐ Yes	☑ No
		(b) Is the amount limit circumvented by splitting procurements?	☐ Yes	√ No
		(c) Are three price quotations obtained and documented on a CHP 78X, X-Number Request?	✓ Yes	☐ No
		(d) Do invoices itemize charges and reference X-Numbers?	☑ Yes	☐ No
	(4)	Are bank cards adequately safeguarded, and purchases reviewed by a supervisor?	√ Yes	☐ No
		(a) Are cardholders familiar with the bank card process, including prohibited and restricted items?	✓ Yes	☐ No
		(b) Are purchases within established policy?	√ Yes	☐ No
		(c) Are three price quotations obtained and documented on a CHP 315X?	√ Yes	☐ No
		(d) Is the bank card log completed properly?	√ Yes	☐ No
-				

## **AREA MANAGEMENT EVALUATION**

### **OFFICE MANAGEMENT**

10								
_		(e)	Are invoices and CHP 317, CAL-Card Log, reviewed b	y a supervisor?		✓ Yes	☐ No	
		(f)	Is there a reconciliation of the monthly bank card stater	ment, and does it have s	upervisory approval?	√ Yes	☐ No	
_	b. V	Vhat co	ntrols does the commander have in place to ensure tim	ely transmittals of monie	es? An off	icer has been t	tasked with	
	а	uditing	this process. The OSS does surprise audits of the quart	terly and weekly transmi	ttals and keeps a writte	n record of th	e audits.	
	(*	1) Are \$10	collections sent to Fiscal Management Section at the fir ,000 total collections, or at the close of business each T	st occurrence of \$1,000 hursday?	in cash and	√ Yes	☐ No	
	(2	2) Are evid	monies received for DL45s, California Special Driver's ( ence, etc., handled appropriately by coordinating transn	Certificate, asset forfeitu nittal with the Area cash	re, reìmbursables, ier?	<b></b> ✓ Yes	☐ No	
	(3	B) Are	"no collection" transmittals sent when appropriate?			√ Yes	☐ No	
_	(4	) Dot	ire sale transactions comply with policy?			√ Yes	☐ No	
	c. Is	securit	y of the postage machine adequate?			√ Yes	☐ No	
_	(1	) Is th	e machine locked when not in use?			☑ Yes	☐ No	
	(2	(2) Is the meter reading documented as required?						
	(3	) Is the posta	ere documentation of monies refunded or forwarded to age machine is being repaired or replaced?	Fiscal Management Sec	tion when the	√ Yes	☐ No	
5	~ypF	LY RE	QUISITIONS (CHP 41)	EVALUATED Yes	ACTION REQUIRED No	CORRECTED		
	a. Ar	e requi	sitions prepared properly?	1,120.00	18.080	√ Yes	☐ No	
	(1	(1) Who prepares them? Chris Finn the Office Asst.						
	(2)	) Has	a practical stock level been established and maintained	?		√ Yes	☐ No	
	(3)	) Is the	ere a system that notifies the staff when the quarterly re-	quisition is going to be p	repared?	√ Yes	□ No	
		(a) l	s the quarterly requisition period for this command adhe	ered to?		√ Yes	☐ No	
		(b) l	s there a high number of emergency requisitions?			☐ Yes	<b></b> ✓ No	
t	o. Ar	e items	stored properly in a storeroom?			√ Yes	☐ No	
	(1)	Is the	re convenient access for regularly used items?			√ Yes	☐ No	
	(2)	Have	obsolete items been removed?			✓ Yes	☐ No	
6. 5	SUPP	LIES			ACTION REQUIRED NO	CORRECTED		
а	. Are	all car	neras assigned to the command accounted for?			✓ Yes	☐ No	
	(1) Are camera cases clean and do they contain the required accessories?						☐ No	
	(2)		nera maintenance assigned to a particular individual?			✓ Yes	□ No	
_	_	(a) V	Vhat is his/her preventative maintenance schedule?	Cameras are checked	on a monthly basis. I	f any maintena	ance is	
	Į.							
b.	Are	all exte	enders assigned to the command accounted for?			√ Yes	☐ No	

# AREA MANAGEMENT EVALUATION

## **OFFICE MANAGEMENT**

	1) Is there adequate security for extender batteries and other	supplies?		√ Yes	☐ No
7. OF	ICE EQUIPMENT	Yes Yes	ACTION REQUIRED No	CORRECTED	
а.	Are office machines in good condition and properly maintained?			✓ Yes	□No
(	1) Is the vendor complying with maintenance contract provisio	ins?		√ Yes	☐ No
(	2) Is there a shortage or surplus of machines?			☐ Yes	<b>√</b> No
b. i	s the Management Information System (MIS) used properly?			✓ Yes	☐ No
(	1) Who is authorized to use the equipment? There are 3 cle	erks and the OSS wh	to are authorized to use t	the MIS. MISs a	ıre
	distributed and written in accordance with departmental pol	licy and it is supervis	sed by Área Managemen	nt.	
(	2) How is training provided, and by whom? The OSS prov	ides training on an a	s-needed basis.		
(;	Is there a usage schedule for uniformed and nonuniformed	personnel?		☐ Yes	☐ No
(4	Are there controls in place to ensure confidentiality?			✓ Yes	☐ No
(:	5) Are all personnel aware of how to request repairs after norm	nal business hours?		✓ Yes	☐ No
(6	i) Is the MIS used to send messages to other offices in lieu of	formal memorandun	ns?	☐ Yes	☑ No
_ (7	) What system is used to ensure proper routing of MIS inform	ation? via the recal	l procedure from MIS.	Commander sup	ervises.
A	re personal computers used properly?			Yes	☐ No
(1	) Who is authorized to use the equipment?				
(2	) How is training provided, and by whom?				
-	(a) How many employees are trained in its use?				
(3	Are there restrictions on the time its used?	=		☐ Yes	☐ No
	(a) Is there a schedule for uniformed and nonuniformed em			☐ Yes	☐ No
(4)		hard drive?		☐ Yes	☐ No
	(a) If so, is the PC password protected?			☐ Yes	☐ No
	(b) Is confidential or sensitive information stored on disks, C secure area?	Ds, or removable dr	ives kept in a	☐ Yes	☐ No
(5)	What is the PC being used for?				
(6)	Are controls present to prevent inappropriate/personal use of	the computer?		☐ Yes	☐ No

## **AREA MANAGEMENT EVALUATION**

### **OFFICE MANAGEMENT**

(7) A L L				
(7) Are backup procedures being performed on a re-	gular basis?		☐ Yes	☐ No
(a) Where applicable, are backup disks stored in	in a secure area?		Yes	☐ No
(8) Are PC manuals and other documentation availa	ble to all users?		☐ Yes	☐ No
(9) What procedures are in place to ensure out-of-da	ate documents and files are	purged? Out of date of	locuments and f	iles are
purged by the OSS and the Admin. Sgt.				
(10) Are employees aware of the availability of excists		relate di markila co o		
(10) Are employees aware of the availability of assista  (11) Is anti-virus software regularly utilized on all state		related problems?	✓ Yes	□ No
	evaluated	LOTION DECUMPED	✓ Yes	☐ No
8. PUBLIC CONTACTS	Yes	No	CORRECTED	
a. Does the office have extended office hours?			☐ Yes	☑ No
(1) If so, are they adequate and effective?			☐ Yes	☐ No
b. Are persons served promptly and courteously?			√ Yes	☐ No
(1) Are backup personnel immediately available?			√ Yes	☐ No
(2) Is telephone service both efficient and effective?			√ Yes	☐ No
(3) Are limited duty personnel used for receptionist d	uties and answering telepho	ones?	√ Yes	☐ No
(A) A 60 1 W 1 A 10			√ Yes	☐ No
(4) Are officer substitutions for nonuniformed position	is kept at a minimum?		v res	
	EVALUATED Yes	ACTION REQUIRED	CORRECTED	
	Yes EVALUATED	No		
SCHOOL BUS DRIVER EXAMINATIONS      a. Is school bus driver testing a special duty or a clerical assigned? Officer Michelle Dobbs	Yes EVALUATED	No	CORRECTED	
a. Is school bus driver testing a special duty or a clerical assigned? Officer Michelle Dobbs  (1) Are tests and test keys kept in a secure place?	Yes function, or is a full-time sch	No nool bus coordinator	CORRECTED   ✓ Yes	□No
a. Is school bus driver testing a special duty or a clerical assigned? Officer Michelle Dobbs  (1) Are tests and test keys kept in a secure place?  (2) How are interested parties advised of testing process.	Yes function, or is a full-time sch	No	CORRECTED   ✓ Yes	□No
a. Is school bus driver testing a special duty or a clerical assigned? Officer Michelle Dobbs  (1) Are tests and test keys kept in a secure place?	Yes function, or is a full-time sch	No nool bus coordinator	CORRECTED   ✓ Yes	□No
a. Is school bus driver testing a special duty or a clerical assigned? Officer Michelle Dobbs  (1) Are tests and test keys kept in a secure place?  (2) How are interested parties advised of testing process.	function, or is a full-time solution or is a full-time solution.  Testing is don	No nool bus coordinator e weekly and participants	CORRECTED   ✓ Yes	□No
a. Is school bus driver testing a special duty or a clerical assigned? Officer Michelle Dobbs  (1) Are tests and test keys kept in a secure place?  (2) How are interested parties advised of testing procubus companies.	function, or is a full-time schedures?  Testing is don  licant, and missed question	No nool bus coordinator  e weekly and participants s discussed?	✓ Yes	□ No
a. Is school bus driver testing a special duty or a clerical assigned? Officer Michelle Dobbs  (1) Are tests and test keys kept in a secure place?  (2) How are interested parties advised of testing procubus companies.  (a) Are exams graded in the presence of the approximation.	function, or is a full-time schedures?  Testing is don  licant, and missed question	No nool bus coordinator  e weekly and participants s discussed?	✓ Yes  are advised by the	□ No he school □ No
a. Is school bus driver testing a special duty or a clerical assigned? Officer Michelle Dobbs  (1) Are tests and test keys kept in a secure place?  (2) How are interested parties advised of testing procubus companies.  (a) Are exams graded in the presence of the app	function, or is a full-time schedures?  Testing is don  licant, and missed question	No nool bus coordinator  e weekly and participants s discussed?	✓ Yes  are advised by the	□ No he school □ No
a. Is school bus driver testing a special duty or a clerical assigned? Officer Michelle Dobbs  (1) Are tests and test keys kept in a secure place?  (2) How are interested parties advised of testing procubus companies.  (a) Are exams graded in the presence of the app	function, or is a full-time solution and missed question on of the test and dispose or	No nool bus coordinator  e weekly and participants s discussed?	✓ Yes  are advised by the	□ No he school □ No
a. Is school bus driver testing a special duty or a clerical assigned? Officer Michelle Dobbs  (1) Are tests and test keys kept in a secure place?  (2) How are interested parties advised of testing procedus companies.  (a) Are exams graded in the presence of the apport (b) Does the officer or coordinator take possession (3) How are test disposed of? Shredded	function, or is a full-time solution and missed question on of the test and dispose or	No nool bus coordinator  e weekly and participants s discussed?	✓ Yes  are advised by the  ✓ Yes  ✓ Yes	□ No he school □ No □ No

# AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT
CHP 453E (Rev. 5-06) OPI 009

1 (	What controls are in place to ens	ure officers appear in co	urt? A log is kept ar	nd the court advises	if an officer miss	ses their
	scheduled court appearances.	*				
	(a) How are appearances minim	ized following cancellation	ons? Officers are ca	lled directly.		
	(b) How are "short notice" cance	llations minimized?	Officers are called direc	tly.		
(2	appropriate cases?		properly distributed and co	ompleted on all	<b></b> ✓ Yes	□No
(3)	Who is responsible for managing	the process? The	court officers, Officers V	Valter and Faranen.		
	(a) Are court officers performing	duties that could be hand	dled by clerical personnel	?	☐ Yes	☑ No
DEP	PARTMENTAL MANUALS		EVALUATED Yes	ACTION REQUIRED	CORRECTED	Q NO
Are	re the number of authorized libraries	being maintained?		1	√ Yes	☐ No
(1)	) Are the libraries convenient for the	se who must use them?			√ Yes	☐ No
	(a) What controls are in place for	"loaning" manuals to en	nployees? Manua	ls are not loaned fro	om the library. M	lanuals a
_	available on the CHP intranet	. Manuals that are consi	stently used on a regular	basis have extra cor	pies that are kept	by the
	training officer and sgt.					
(2)	) Are publications distinctively market	ed so they can be readily	identified?		☑ Yes	☐ No
	(a) Are the number of libraries exc	cessive or sufficient? s	ufficient			
	(b) Is there a listing available of w	hat should be in each lib	rary?		√ Yes	☐ No
(3)	Are publications kept up-to-date?				√ Yes	☐ No
(4)	Who files publication changes?	Sgt. Dean Trujillo	is tasked with this respon	sibility.		
attach	ned for explanations.					

# AREA MANAGEMENT EVALUATION OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

AREA	DIVISION	NUMBER	
Antelope Valley/545	Southern Division		
EVALUATED BY		DATE	
J. Kolstad #16434		07/22/2008	

TRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box. If this town is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed on the CHP 454, Area Management Evaluation Supplement. The Supplement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Supplement can be handwritten if desired.

		porton, and the supplement out	T DO HAHAWII KOIT II	doon od.		
	valuation  mal Evaluation  Info	rmal Evaluation	SUSPENSE DATE			
FOLLOW-U	P REQUIRED	Correction Report	COMMANDER'S REVIEW		DATE	
☐ Yes	☑ No	BY				
1. CLE	RICAL TASKS		EVALUATED Yes	ACTION REQUIRED No	CORRECTED	
a. Is	the office well organized?		.1		☑ Yes	☐ No
(1	) Are there written job des	scriptions?			√ Yes	☐ No
	(a) Does clerical staff h	nave their job description at their des	sk?		☑ Yes	☐ No
8	(b) Does clerical staff (	understand what is expected of them	1?		√ Yes	☐ No
(2	) Are similar activities gro	uped together to promote efficiency	?		√ Yes	☐ No
(3	) If tape recorders are use	ed, can clerical employees transcrib	e effectively?		√ Yes	☐ No
(4	) Is the clerical staff know security, etc.?	ledgeable in the use of personal cor	mputers, filing requir	ements, information	√ Yes	☐ No
(5)	) Can another clerical em	ployee assume the duties of a cleric	al employee who is	absent?	✓ Yes	☐ No
b. Is	the Office Services Superv	risor (OSS) effective?			√ Yes	☐ No
(1)	Does he/she properly ap	ply management philosophies and	supervisory skills?		✓ Yes	☐ No
	(a) Does he/she have the	he authority and backing necessary	to effectively superv	ise subordinates?	√ Yes	☐ No
	(b) Is the clerical super	visor an effective manager?			√ Yes	□ No
(2)	Does the OSS identify er	mployes with supervisory potential?			√ Yes	☐ No
	(a) Does he/she assist development?	employees in the preparation of writ	ten plans for progres	ssive career	<b>√</b> Yes	□No
	(b) Have special interes been afforded the er	ets been identified and educational on mployees?	opportunities and/or	departmental training	<b>√</b> Yes	□No
		ndividual Development Plan for Futu d to identify particular strengths of t		of Permanent	☐ Yes	☑ No
(3)	Does the supervisor set a	a good example?			✓ Yes	☐ No
	(a) Does he/she show a	willingness to assist subordinate pe	ersonnel?		√ Yes	☐ No
	(b) Does he/she know w	hen to act, when to delegate, and w	hen to refer to a sup	pervisor?	√ Yes	☐ No
(4)	If there is more than one	OSS, is the work and supervision e	venly distributed?		NA Yes	☐ No
(5)	Does the OSS participate	in Area staff meetings?			☑ Yes	□No

# AREA MANAGEMENT EVALUATION OFFICE MANAGEMENT

LIN	IG SYSTEM	Yes EVALUATED	ACTION REQUIRED	CORRECTED	
	the Area's filing system in compliance with departmental guid ile Guide?	elines contained in HPG	11.1, Field Office	☑ Yes	☐ No
b. A	re other files, i.e., permanent files, enforcement document files	s, etc., maintained accor	ding to policy?	☑ Yes	☐ No
(1	) How far back are accident reports being maintained? 48 n	nos. rotating. Exception	s for MAIT, Felony H&	R and fatals.	
(2	) Is there a filing backlog?			Yes	☑ No
(3	) Is there evidence of recent office review?			✓ Yes	☐ No
(4	) How are Management and All Commanders Memorandums	filed and purged?	They are filed into the	Area library	by the
	Office Assistant in accordance with departmental policy.				
(5)	) Are Training and Information Bulletins filed?			√ Yes	☐ No
	(a) If so, how are they located? Yes, see #4.				
(6)	Do all clerical employees understand the filing system?			☑ Yes	☐ No
(7)	Does the Area have an effective suspense system?			✓ Yes	☐ No
	(a) Do all supervisors take advantage of the suspense syst	tem?		√ Yes	☐ No
Are	e personnel files properly secured and access limited?			√ Yes	☐ No
(1)	Are the requirements of the Information Practices Act being	followed?		√ Yes	☐ No
(2)	Is a periodic review done on a regular basis?			√ Yes	☐ No
	(a) If so, how often? Weekly review is completed by the	OSS-I and an annual rev	view is completed by the	OSS-I and th	ne Lt.
(3)	Is annual employee review and updating conducted as requi	ired?		✓ Yes	☐ No
(4)	Are only required or permitted items contained in personnel	folders?	1	√ Yes	☐ No
3. SECUI	RITY OF CRIMINAL RECORDS	Yes Yes	NO REQUIRED	CORRECTED	
	ve employees who have access to criminal offender record inf ting they understand the regulations and policies pertaining to		nowledgment	√ Yes	□No
(1)	Has the Area designated a specific person to release crimina	al offender record inform	nation?	√ Yes	☐ No
	(a) Do any other persons release this information?			☐ Yes	<b>☑</b> No
	(b) Has the designated person completed the required train	ning?		√ Yes	☐ No
	(c) Are safeguards in place to verify telephone inquiries prior	or to disclosure?		√ Yes	☐ No
(2)	Does each person that is designated to release information record Information Release Log?	maintain a CHP 263B, C	riminal Offender	√ Yes	☐ No
	(a) Are entries maintained for the prescribed period of time	?		√ Yes	☐ No
. SCAI	PROCEDURES	EVALUATED Yes	ACTION REQUIRED No	CORRECTED	
a. Hav	ve discrepancies on the most current audit reports been correct	cted?		√ Yes	☐ No

## AREA MANAGEMENT EVALUATION

### **OFFICE MANAGEMENT**

OFF	7001	- (110	7. 0-00) OF 1 003	The state of the s	
	(1	) Ar	e all change fund and collections handled and processed according to policy?	☑ Yes	☐ No
		(a)	Are counter receipts and DL45s, California Special Driver's Certificate, issued to the field accounted for and safeguarded?	☑ Yes	□ No
		(b)	Are "voided" or "no fee" DL45s marked as such, signed by the commander, and forwarded to Fiscal Management Section?	☑ Yes	□ No
		(c)	Is there a separation of duties between cashier responsibilities and transmittal of collections?	☑ Yes	□ No
		(d)	Are collections and change funds safeguarded?	☑ Yes	☐ No
		(e)	Are checks promptly endorsed and cash receipts reconciled daily?	☑ Yes	☐ No
		(f)	Are counter receipts and DL45s that are issued in sequence accounted for and returned to Fiscal Management Section upon completion?	☑ Yes	☐ No
		(g)	What specific guidelines are in place for security control and accountability? There is a daily	reconciliation at 1	700 hours.
			They are kept in a locked box in a locked filing cabinet within the office. The OSS-I and the Cap	tain do audits and	surprise
			counts to ensure accountability.		
		(h)	Is a supervisor responsible for review of the system?	☑ Yes	☐ No
		(i)	Do total collections agree with the total amount of counter receipts and DL45s issued?	√ Yes	☐ No
		(j)	Are counter receipts and transmittal records prepared properly?	☑ Yes	☐ No
		(k)	Are surprise counts of funds performed and documented by the commander or designee?	☑ Yes	☐ No
	(2)	Аге	security and accountability procedures in place for the petty cash fund?	☑ Yes	☐ No
		(a)	Is the petty cash fund used only for authorized purchases within the limited amount?	☑ Yes	☐ No
	12112	(b)	Are valid authorizations on file?	☑ Yes	☐ No
		(c)	Is a Disbursement Voucher (Std. 439) completed and signed by the commander when the receipt does not show the vendor name or item purchased?	☑ Yes	□ No
		(d)	Are there adequate procedures to ensure purchases are properly authorized?	☑ Yes	☐ No
		(e)	Are surprise counts performed by someone not involved in handling the petty cash fund?	☑ Yes	☐ No
	(3)	Are	X-Number services proper and within departmental and state policy?	☑ Yes	☐ No
		(a)	Are services procured over \$4,999.99?	Yes	☑ No
	liki ker	(b)	Is the amount limit circumvented by splitting procurements?	☐ Yes	☑ No
		(c)	Are three price quotations obtained and documented on a CHP 78X, X-Number Request?	☑ Yes	☐ No
		(d)	Do involces itemize charges and reference X-Numbers?	☑ Yes	☐ No
	(4)	Are	bank cards adequately safeguarded, and purchases reviewed by a supervisor?	√ Yes	☐ No
		(a)	Are cardholders familiar with the bank card process, including prohibited and restricted items?	√ Yes	☐ No
		(b)	Are purchases within established policy?	☑ Yes	☐ No
	F	(c)	Are three price quotations obtained and documented on a CHP 315X?	☑ Yes	☐ No
		(d)	is the bank card log completed properly?	☑ Yes	☐ No

## **AREA MANAGEMENT EVALUATION**

**OFFICE MANAGEMENT** 

CHP 453F (Re	V E 06) ODI (	200

1000	: (1.64: 0.00) 01 1 000				
	(e) Are invoices and CHP 317, CAL-Card Log, reviewed b	y a supervisor?		☑ Yes	☐ No
	(f) Is there a reconciliation of the monthly bank card stater	ment, and does it have s	supervisory approval?	√ Yes	☐ No
b. Wl	hat controls does the commander have in place to ensure tim	nely transmittals of monic	es? They a	re sent as requ	ired on a
we	eekly/monthly basis. There is a quarterly audit performed by	the Captain, as well as r	andom checks to ensure	e accuracy.	
(1)			) in cash and	√ Yes	☐ No
(2)	·			☑ Yes	☐ No
(3)	Are "no collection" transmittals sent when appropriate?			√ Yes	☐ No
(4)	Do tire sale transactions comply with policy?			√ Yes	☐ No
c. Is s	security of the postage machine adequate?			√ Yes	☐ No
(1)	Is the machine locked when not in use?			<b></b> ✓ Yes	☐ No
(2)	Is the meter reading documented as required?			✓ Yes	☐ No
(3)	Is there documentation of monies refunded or forwarded to postage machine is being repaired or replaced?	Fiscal Management Sec	ction when the	<b>√</b> Yes	☐ No
'JPPL	Y REQUISITIONS (CHP 41)	EVALUATED Ves	ACTION REQUIRED	CORRECTED	
. Are	e requisitions prepared properly?	100	INO	✓ Yes	☐ No
(1)	Who prepares them? The Office Assistant, Virginia Porch	hia			
(2)	Has a practical stock level been established and maintained	d?		√ Yes	☐ No
(3)	Is there a system that notifies the staff when the quarterly re	equisition is going to be	prepared?	<b>√</b> Yes	☐ No
	(a) Is the quarterly requisition period for this command adh	nered to?		<b></b> ✓ Yes	☐ No
	(b) Is there a high number of emergency requisitions?			Yes	☑ No
. Are	items stored properly in a storeroom?			✓ Yes	□ No
(1)	Is there convenient access for regularly used items?			√ Yes	☐ No
(2)	Have obsolete items been removed?			√ Yes	☐ No
UPPL	IES	Yes Yes	ACTION REQUIRED No	CORRECTED	
Are	all cameras assigned to the command accounted for?			√ Yes	□ No
(1)	Are camera cases clean and do they contain the required ac	ccessories?		✓ Yes	☐ No
(2)	Is camera maintenance assigned to a particular individual?			√ Yes	☐ No
	(a) What is his/her preventative maintenance schedule?	The inventory office	er and administrative se	ergeant are resp	ponsible
)	for the maintenance of the cameras.				
	(1) (2) (3) (4) (2) (3) (1) (2) (3) (1) (2) (3) (1) (2) (3) (3) (4) (2) (3) (1) (2) (3) (4) (2) (3) (1) (2) (3) (4) (2) (3) (4) (2) (3) (4) (2) (3) (4) (2) (3) (4) (2) (3) (4) (2) (3) (4) (2) (3) (4) (2) (3) (4) (2) (3) (4) (2) (3) (4) (4) (2) (3) (4) (2) (3) (4) (4) (4) (6) (7) (7) (8) (9) (9) (9) (9) (9) (9) (9) (9) (9) (9	(f) Is there a reconciliation of the monthly bank card states b. What controls does the commander have in place to ensure time weekly/monthly basis. There is a quarterly audit performed by  (1) Are collections sent to Fiscal Management Section at the fill \$10,000 total collections, or at the close of business each in \$10,000 total collections each in \$10,000 total collections, or at the close of business each in \$10,000 total collections	b. What controls does the commander have in place to ensure timely transmittals of moni weekly/monthly basis. There is a quarterly audit performed by the Captain, as well as received for DL45s, California Special Driver's Certificate, asset forfeit evidence, etc., handled appropriately by coordinating transmittal with the Area cast (3) Are "no collection" transmittals sent when appropriate?  (4) Do tire sale transactions comply with policy?  (5) Is the machine locked when not in use?  (6) Is the meter reading documented as required?  (7) Is the meter reading documented as required?  (8) Is there documentation of monies refunded or forwarded to Fiscal Management Se postage machine is being repaired or replaced?  (9) Is the requisitions (CHP 41)  (1) Who prepares them? The Office Assistant, Virginia Porchia  (1) Is there a system that notifies the staff when the quarterly requisition is going to be  (a) Is there a high number of emergency requisitions?  (b) Is there a high number of emergency requisitions?  (c) Have obsolete items been removed?  (d) Have obsolete items been removed?  (e) Have obsolete items been removed?  (f) Are camera cases clean and do they contain the required accessories?  (f) Is camera maintenance assigned to a particular individual?	(f) Is there a reconciliation of the monthly bank card statement, and does it have supervisory approval?  b. What controls does the commander have in place to ensure timely transmittals of monies? They a weekly/monthly basis. There is a quarterly audit performed by the Captain, as well as random checks to ensure the collections are considered by the Captain of the construction of the construction of \$1,000 in cash and \$10,000 total collections, or at the close of business each Thursday?  (2) Are monies received for DL45s, California Special Driver's Certificate, asset forfeiture, reimbursables, evidence, etc., handled appropriately by coordinating transmittal with the Area cashier?  (3) Are "no collection" transmittals sent when appropriate?  (4) Do tire sale transactions comply with policy?  c. is security of the postage machine adequate?  (1) Is the machine locked when not in use?  (2) Is the meter reading documented as required?  (3) Is there documentation of monies refunded or forwarded to Fiscal Management Section when the postage machine is being repaired or replaced?  **PPPLY REQUISITIONS (CHP 41)  a. Are requisitions prepared properly?  (1) Who prepares them? The Office Assistant, Virginia Porchia  (2) Has a practical stock level been established and maintained?  (3) Is there a system that notifies the staff when the quarterly requisition is going to be prepared?  (a) Is the quarterly requisition period for this command adhered to?  (b) Is there a high number of emergency requisitions?  Are illems stored properly in a storeroom?  (1) Is there convenient access for regularly used items?  (2) Have obsolete items been removed?  **SUPPLIES**    Archion Required   Yes   No   No   No   No   No   No   No   N	(f) Is there a reconcilitation of the monthly bank card statement, and does it have supervisory approval?    D. What controls does the commander have in place to ensure timely transmittals of monies?   They are sent as required weekly/monthly basis. There is a quarterly audit performed by the Captain, as well as random checks to ensure accuracy.  (1) Are collections sent to Fiscal Management Section at the first occurrence of \$1,000 in cash and \$10,000 total collections, or at the close of business each Thursday?    (2) Are monies received for DL45s, California Special Driver's Certificate, asset forfeiture, reimbursables, evidence, etc., handled appropriately by coordinating transmittal with the Area cashier?    (3) Are "no collection" transmittals sent when appropriate?    (4) Do tire sale transactions comply with policy?    (5) Is security of the postage machine adequate?    (6) Is the machine locked when not in use?    (7) Yes  (8) Is there documentation of monies refunded or forwarded to Fiscal Management Section when the postage machine is being repaired or replaced?    (7) Yes  (8) Is there documentation of monies refunded or forwarded to Fiscal Management Section when the postage machine is being repaired or replaced?    (9) Yes  (1) Who prepares them? The Office Assistant, Virginia Porchia  (2) Has a practical stock level been established and maintained?    (3) Is there a system that notifies the staff when the quarterly requisition is going to be prepared?    (4) Yes  (5) Is there a high number of emergency requisitions?    (6) Is there a high number of emergency requisitions?    (7) Yes  (8) Is there convenient access for regularly used items?    (9) Yes  Action recourse.  (1) Is there convenient access for regularly used items?    (2) Yes  (3) Is there a maintenance assigned to the command accounted for?    (4) Yes  (5) Is camera maintenance assigned to a particular individual?    (5) Yes

## AREA MANAGEMENT EVALUATION

### **OFFICE MANAGEMENT**

. (	Is there adequate security for extender bat	teries and other	supplies?		√ Yes	☐ No
7. OFF	ICE EQUIPMENT		Yes	No No	CORRECTED	
a. A	Are office machines in good condition and prop	erly maintained	?		√ Yes	☐ No
('	1) Is the vendor complying with maintenance	contract provisi	ons?		✓ Yes	☐ No
(2	2) Is there a shortage or surplus of machines	?			☑ Yes	☐ No
b. Is	s the Management Information System (MIS) u	sed properly?		_	✓ Yes	☐ No
(1	1) Who is authorized to use the equipment?	Everyone in t	the clerical unit has	s received training and is pr	oficient in its us	se.
(2	2) How is training provided, and by whom?	There is on-li	ine training and the	OSS-I can provide additio	nal assistance.	
(3	3) Is there a usage schedule for uniformed ar	d nonuniformed	I personnel?		☑ Yes	☐ No
(4	4) Are there controls in place to ensure confid	lentiality?			√ Yes	☐ No
(5	5) Are all personnel aware of how to request i	epairs after nor	mal business hours	s?	√ Yes	☐ No
(6	B) Is the MIS used to send messages to other	offices in lieu o	f formal memorano	dums?	√ Yes	☐ No
(7	What system is used to ensure proper rout	ing of MIS inforr	mation? The OSS	-I and Lt. oversee the proce	ess.	
Aı	re personal computers used properly?			N	Yes	☐ No
(1	) Who is authorized to use the equipment?	Personal	computers are not	used by any of the clerical	personnel.	
(2	2) How is training provided, and by whom?					
4	(a) How many employees are trained in its	s use?				
(3)	) Are there restrictions on the time its used?				☐ Yes	☐ No
	(a) Is there a schedule for uniformed and	nonuniformed e	mployees?		☐ Yes	☐ No
(4)	) Is confidential or sensitive information being	stored on a PC	hard drive?		☐ Yes	☐ No
	(a) If so, is the PC password protected?				☐ Yes	☐ No
	(b) Is confidential or sensitive information secure area?	stored on disks,	CDs, or removable	e drives kept in a	☐ Yes	☐ No
(5)	) What is the PC being used for?					
)_						

## AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT CHP 453E (Rev. 5-06) OPI 009				
(7) Are backup procedures being performed on a regula	ar basis?		☐ Yes	□ No
(a) Where applicable, are backup disks stored in a	secure area?		☐ Yes	☐ No
(8) Are PC manuals and other documentation available	to all users?		☐ Yes	☐ No
(9) What procedures are in place to ensure out-of-date	documents and files are	e purged?		
(10) Are employees aware of the availability of assistance	e in resolving computer	related problems?	☑ Yes	☐ No
(11) Is anti-virus software regularly utilized on all state-ov	wned PCs?		√ Yes	☐ No
8. PUBLIC CONTACTS	Yes Yes	NO NO	CORRECTED	
a. Does the office have extended office hours?	-		Yes	☑ No
(1) If so, are they adequate and effective?		118	NA Yes	☐ No
b. Are persons served promptly and courteously?			☑ Yes	□ No
(1) Are backup personnel immediately available?			√ Yes	☐ No
(2) Is telephone service both efficient and effective?			☑ Yes	☐ No
(3) Are limited duty personnel used for receptionist dutie	es and answering teleph	nones?	✓ Yes	☐ No
(4) Are officer substitutions for nonuniformed positions leads to the control of	kept at a minimum?		✓ Yes	☐ No
9. SCHOOL BUS DRIVER EXAMINATIONS	Yes	No REQUIRED	CORRECTED	
a. Is school bus driver testing a special duty or a clerical fur assigned? Officer Ruiz is the full-time coordinator.	nction, or is a full-time s	chool bus coordinator		
(1) Are tests and test keys kept in a secure place?			√ Yes	☐ No
(2) How are interested parties advised of testing proced	ures? They are adv	rised by the school bus com	panies or by the	officer if
they come in to the office and ask.				
(a) Are exams graded in the presence of the application	ant, and missed question	ns discussed?	✓ Yes	□ No
(b) Does the officer or coordinator take possession	of the test and dispose	of accordingly?	√ Yes	□No
(3) How are test disposed of? shredded				
(4) Is there a specific date and time set aside for testing	?		<b></b> ✓ Yes	☐ No
OURT INFORMATION PROCEDURES	Yes Yes	ACTION REQUIRED No	CORRECTED	

a. Is there a systematic method of coordinating court appearance matters?

☐ No

✓ Yes

## AREA MANAGEMENT EVALUATION

## **OFFICE MANAGEMENT**

	S CONTRACTOR OF THE CONTRACTOR					
(1)	What controls are in place to ensure officers ap	pear in court?	The Office	Assistant, C. Chandler, k	ceeps a log of all	l the
	subpoenas. She forwards them to the shift sgts	. for signature by	the officer. If	a subpoena is cancelled s	she notifies the c	officer b
	phone and makes an entry in her log. Court Of	ficer J. Nelson as	sists with the n	otifications.		
	(a) How are appearances minimized following	cancellations?	See above.			
	(b) How are "short notice" cancellations minim	ized? See al	bove.			
(2)	Aro CHR 00a Papert of Court Assessment Of	31 A 11				
(2)	Are CHP 90s, Report of Court Appearance - Civappropriate cases?	II Action, properly	distributed an	d completed on all	√ Yes	
(3)	Who is responsible for managing the process?	There is a	suspense syster	n in place with a written	log. See #1.	
	(a) Are court officers performing duties that court	uld be handled by	clerical persor	nnel?	☐ Yes	<b>☑</b> No
. DEPA	RTMENTAL MANUALS	EVALU Yes	IATED	ACTION REQUIRED	CORRECTED	
Are	the number of authorized libraries being maintain	ned?			☑ Yes	☐ No
(1)	Are the libraries convenient for those who must	use them?		H	√ Yes	□ No
	(a) What controls are in place for "loaning" mar	nuals to employee	es? che	ck-out cards		
(2)	Are publications distinctively marked so they can	be readily identif	ied?		✓ Yes	□ No
	(a) Are the number of libraries excessive or suff	ficient? Sufficie	nt			
	(b) Is there a listing available of what should be	in each library?			√ Yes	□ No
	Are publications kept up-to-date?				√ Yes	☐ No
(4)	Who files publication changes? Either the	he OSS-I or one o	f the O.A.s wil	l file the update.		